Preface

This Manual includes information about policies and procedures at Union College. It is intended primarily for the benefit of faculty members for whom it seeks to provide many kinds of information pertinent to living and teaching in the Union College community. All letters of appointment, for example, make reference to the contents of this manual.

All of the matters discussed here are descriptions of current practices. The issues included range from day-to-day matters such as campus dining facilities to such fundamental concerns as tenure and promotion. Policies and practices are stated throughout as precisely and carefully as possible. The Manual is intended to be complete, but it obviously cannot provide answers to all the questions that arise in an organization as complex as Union College.

The system of pagination employed makes possible the addition of new or different material as it becomes available, and it is a simple matter for the reader to insert it in the proper place.

Suggestions for improving this Manual are welcome and should be made to the Office of the Vice President for Academic Affairs/Dean of the Faculty.
# FACULTY MANUAL

# TABLE OF CONTENTS

Preface

I. **SALARIES AND FRINGE BENEFITS**  
   FM I - 1 through 15  
   Salary Payments .............................. 1  
   State Loyalty Oath .......................... 1  
   Flexible Benefits Program .................. 1-2  
   Domestic Partnership Benefits .......... 2-4  
   Domestic Partnership Policy ............. 2  
   Definition of Domestic Partnership ...... 2  
   Eligibility .................................. 3-4  
   Business Travel Accident Insurance ...... 4  
   Death Benefit for Faculty ................. 4  
   Income Protection .......................... 4-5  
   Short Term Disability ....................... 4-5  
   Workers Compensation Benefits .......... 5  
   Retirement Policy ........................... 5  
   Retirement Plan ............................. 5-6  
   Moving Expenses ............................. 6  
   Personal Leave of Absence Without Pay .. 6-7  
   Family and Medical Leave ................ 7-9  
   Family Leave Entitlement ................. 7-8  
   Medical Leave Entitlement ................ 8  
   Job and Benefit Protection ............... 8  
   Procedure for Securing Leave .......... 9  
   Credit Union ............................... 9  
   Faculty and Administration Second-Mortgage Program 9  
   College Plot in Yale Cemetery .......... 9  
   Faculty/Staff Children’s Scholarship Program 10-14  
   Full-Time Enrollment Scholarships ...... 10-13  
   Eligibility Provisions ..................... 10-11  
   Qualifications for Eligible Children .... 11-12  
   Scholarship Amounts to Institutions Other Than Union College 12  
   Scholarship Amounts to Attend Union College 12  
   General Information on Full-Time Scholarships 13  
   Part-Time Enrollment at Union College ... 13-14  
   Eligibility Provisions ..................... 13  
   Entitlement ................................ 13  
   General Information on Part-Time Scholarships 13-14  
   Administration of Scholarships ........ 14

II. **FACULTY APPOINTMENTS, TENURE, PROMOTION, LEAVES**  
   FM II, 1-45  
   Appointment of Tenure-Track Faculty Members 1-6  
   New Appointments to the Faculty .......... 1  
   First-Year Review of Faculty ............ 1-2
<table>
<thead>
<tr>
<th>Topic</th>
<th>Pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reappointments Prior to Tenurability Review</td>
<td>2-6</td>
</tr>
<tr>
<td>Promotions</td>
<td>6-10</td>
</tr>
<tr>
<td>Procedures for Promotion</td>
<td>6-8</td>
</tr>
<tr>
<td>Faculty Ranks and the Criteria for Promotion</td>
<td>8-10</td>
</tr>
<tr>
<td>Procedure for a Decision on Tenurability</td>
<td>10-19</td>
</tr>
<tr>
<td>Procedure for Initiating a Tenure Review</td>
<td>11-12</td>
</tr>
<tr>
<td>The Ad Hoc Committee</td>
<td>12-17</td>
</tr>
<tr>
<td>Constitution of the Ad Hoc Committee</td>
<td>12</td>
</tr>
<tr>
<td>Procedures of the Ad Hoc Committee</td>
<td>12-13</td>
</tr>
<tr>
<td>Revised Charge to Ad Hoc Tenure Committees</td>
<td>13-14</td>
</tr>
<tr>
<td>Evaluation of Teaching</td>
<td>14-15</td>
</tr>
<tr>
<td>Evaluation of Scholarship</td>
<td>15-16</td>
</tr>
<tr>
<td>Evaluation of College Service</td>
<td>16</td>
</tr>
<tr>
<td>General Information on the Ad Hoc Report</td>
<td>16-17</td>
</tr>
<tr>
<td>The Role of the FRB and of the Dean of the Faculty</td>
<td>17-19</td>
</tr>
<tr>
<td>Union College Tenure Plan</td>
<td>19-22</td>
</tr>
<tr>
<td>Persons with Fewer Than Seven Years of Service as Tenure-Track</td>
<td>19</td>
</tr>
<tr>
<td>Members of the Faculty of Union College</td>
<td>19-20</td>
</tr>
<tr>
<td>Persons with Seven or More Years of Service as Tenure-Track</td>
<td>19-20</td>
</tr>
<tr>
<td>Members of the Faculty of the College</td>
<td>19-20</td>
</tr>
<tr>
<td>General Provisions</td>
<td>20-21</td>
</tr>
<tr>
<td>Procedure for Determination of the Number of Additional Tenured</td>
<td>21-22</td>
</tr>
<tr>
<td>Appointments</td>
<td></td>
</tr>
<tr>
<td>Reconsideration and Appeals of Negative Determinations on Pre-Tenurability Contract Renewals and Tenurability</td>
<td>22-25</td>
</tr>
<tr>
<td>Procedure for Reconsideration</td>
<td>22</td>
</tr>
<tr>
<td>Faculty Appeals Committee: Procedure</td>
<td>22-25</td>
</tr>
<tr>
<td>Procedures for the Review of Visiting Faculty and Lecturers</td>
<td>26-27</td>
</tr>
<tr>
<td>Purpose for the Review</td>
<td>26</td>
</tr>
<tr>
<td>Review Procedures</td>
<td>26-27</td>
</tr>
<tr>
<td>Review of Visiting Faculty</td>
<td>26-27</td>
</tr>
<tr>
<td>Review of Lecturers</td>
<td>27</td>
</tr>
<tr>
<td>Professional Librarian Appointments</td>
<td>27-29</td>
</tr>
<tr>
<td>Leaves</td>
<td>29-32</td>
</tr>
<tr>
<td>Sabbatical Leaves</td>
<td>29-30</td>
</tr>
<tr>
<td>Tenure-Track Junior Faculty</td>
<td>30</td>
</tr>
<tr>
<td>Regular Tenurable and Tenured Faculty</td>
<td>30-31</td>
</tr>
<tr>
<td>Leaves of Absence Without Pay</td>
<td>31</td>
</tr>
<tr>
<td>Leaves of Absence for Winners of Prestigious Grants</td>
<td>31-32</td>
</tr>
<tr>
<td>Outside Work</td>
<td>32-33</td>
</tr>
<tr>
<td>Paid Consulting and Research</td>
<td>32-33</td>
</tr>
<tr>
<td>Academic Freedom and Termination of Faculty Appointments</td>
<td>33-34</td>
</tr>
<tr>
<td>Faculty Resignations</td>
<td>34-35</td>
</tr>
<tr>
<td>Salary Increases</td>
<td>35-37</td>
</tr>
<tr>
<td>Procedures</td>
<td>35-36</td>
</tr>
<tr>
<td>Merit Awards</td>
<td>36-37</td>
</tr>
<tr>
<td>Procedures for Annual Merit</td>
<td>36</td>
</tr>
<tr>
<td>Procedures for Triennial Merit</td>
<td>36-37</td>
</tr>
<tr>
<td>Topic</td>
<td>Page</td>
</tr>
<tr>
<td>---------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Contract Renewals</td>
<td>37</td>
</tr>
<tr>
<td>Personal Records at Union College</td>
<td>37-39</td>
</tr>
<tr>
<td>Student Records at Union College</td>
<td>37-38</td>
</tr>
<tr>
<td>Faculty Records at Union College</td>
<td>38-39</td>
</tr>
<tr>
<td>Statement of Policy and Plan for Equal Opportunity and Affirmative Action</td>
<td>39</td>
</tr>
<tr>
<td>Sexual Harassment and Harassment on the Basis of Race, Religion, Ethnicity, or Sexual Orientation</td>
<td>39-45</td>
</tr>
<tr>
<td>Purpose</td>
<td>39</td>
</tr>
<tr>
<td>Scope</td>
<td>40</td>
</tr>
<tr>
<td>Policy Statement</td>
<td>40-41</td>
</tr>
<tr>
<td>Definition of Harassment</td>
<td>40-41</td>
</tr>
<tr>
<td>Definition of Sexual Harassment</td>
<td>40-41</td>
</tr>
<tr>
<td>Procedures for Dealing with Cases of Sexual Harassment</td>
<td>41</td>
</tr>
<tr>
<td>Informal Discussion Stage of Grievance Resolution</td>
<td>42</td>
</tr>
<tr>
<td>Mediation and Informal Intervention</td>
<td>42</td>
</tr>
<tr>
<td>Initiation of Formal Grievance Procedures</td>
<td>42-43</td>
</tr>
<tr>
<td>Hearings Before the Committee</td>
<td>44</td>
</tr>
<tr>
<td>Consideration of the Case by the Committee</td>
<td>44-45</td>
</tr>
</tbody>
</table>

**III. TEACHING: REGULATIONS AND PROCEDURES**

FM III, 1-8

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Responsibility</td>
<td>1</td>
</tr>
<tr>
<td>Classroom Assignments</td>
<td>1</td>
</tr>
<tr>
<td>Class Lists</td>
<td>1</td>
</tr>
<tr>
<td>Change of Course or Section</td>
<td>1</td>
</tr>
<tr>
<td>Extra Teaching: Evening Division, Overloads, Summer School, And Teaching at Another Institution</td>
<td>1-2</td>
</tr>
<tr>
<td>Attendance</td>
<td>2-3</td>
</tr>
<tr>
<td>Student Trips</td>
<td>3</td>
</tr>
<tr>
<td>Examinations</td>
<td>3-4</td>
</tr>
<tr>
<td>Proficiency Exams</td>
<td>4</td>
</tr>
<tr>
<td>Grades 5</td>
<td>5-7</td>
</tr>
<tr>
<td>Academic Honesty</td>
<td>5-7</td>
</tr>
<tr>
<td>Contractual Arrangements - Graduate Programs</td>
<td>7-8</td>
</tr>
</tbody>
</table>

**IV. FACULTY CONSTITUTION**

1-19

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basic Structure of the Governance System</td>
<td>1</td>
</tr>
<tr>
<td>Organization of the Faculty</td>
<td>1-4</td>
</tr>
<tr>
<td>Membership</td>
<td>1</td>
</tr>
<tr>
<td>Leadership of the Faculty</td>
<td>1-2</td>
</tr>
<tr>
<td>Faculty Meetings</td>
<td>2-3</td>
</tr>
<tr>
<td>Divisional Meetings</td>
<td>3</td>
</tr>
<tr>
<td>Criteria for Elections of Faculty Members</td>
<td>3-4</td>
</tr>
<tr>
<td>The Policy Councils: Authority and Structure</td>
<td>4-5</td>
</tr>
<tr>
<td>Authority of the Policy Councils</td>
<td>4</td>
</tr>
<tr>
<td>Creation of Sub-Councils</td>
<td>4</td>
</tr>
<tr>
<td>Leadership of the Councils</td>
<td>4</td>
</tr>
<tr>
<td>Procedural Terminology Defined</td>
<td>4-5</td>
</tr>
<tr>
<td>The Academic Affairs Council</td>
<td>5-7</td>
</tr>
<tr>
<td>Membership</td>
<td>5</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>Responsibilities</td>
<td>5-6</td>
</tr>
<tr>
<td>Standing Sub-Council of the AAC</td>
<td>6-7</td>
</tr>
<tr>
<td>Procedures</td>
<td>7</td>
</tr>
<tr>
<td>The General Education Board</td>
<td>7</td>
</tr>
<tr>
<td>The Student Affairs Council</td>
<td>7-8</td>
</tr>
<tr>
<td>Membership</td>
<td>7</td>
</tr>
<tr>
<td>Responsibilities</td>
<td>8</td>
</tr>
<tr>
<td>Sub-Council</td>
<td>8</td>
</tr>
<tr>
<td>Procedures</td>
<td>8</td>
</tr>
<tr>
<td>Legislative Flow Chart for Academic Affairs Council</td>
<td>9-10</td>
</tr>
<tr>
<td>Legislative Flow Chart for Student Affairs Council</td>
<td>10-11</td>
</tr>
<tr>
<td>Faculty Review Board</td>
<td>11-12</td>
</tr>
<tr>
<td>Membership</td>
<td>11</td>
</tr>
<tr>
<td>Responsibilities</td>
<td>12</td>
</tr>
<tr>
<td>Procedures</td>
<td>12</td>
</tr>
<tr>
<td>Right to Appeal</td>
<td>12</td>
</tr>
<tr>
<td>Faculty Appeals Committee</td>
<td>12-13</td>
</tr>
<tr>
<td>Membership</td>
<td>12-13</td>
</tr>
<tr>
<td>Responsibilities</td>
<td>13</td>
</tr>
<tr>
<td>The Consultation Groups</td>
<td>13</td>
</tr>
<tr>
<td>Purpose</td>
<td>13</td>
</tr>
<tr>
<td>Authority</td>
<td>13</td>
</tr>
<tr>
<td>The Conference Group</td>
<td>13-14</td>
</tr>
<tr>
<td>The Planning and Priorities Group</td>
<td>14-15</td>
</tr>
<tr>
<td>Liaison Committee for Admissions</td>
<td>15</td>
</tr>
<tr>
<td>Liaison Committee for Athletics</td>
<td>16</td>
</tr>
<tr>
<td>Liaison Committee for Campus Facilities</td>
<td>16-17</td>
</tr>
<tr>
<td>Liaison Committee for the Library</td>
<td>17-18</td>
</tr>
<tr>
<td>Additional Liaison Committees</td>
<td>18</td>
</tr>
<tr>
<td>Amending the Governance System</td>
<td>18-19</td>
</tr>
</tbody>
</table>

V. BOOKSTORE, LIBRARY, AND OTHER SERVICES

<table>
<thead>
<tr>
<th>College Bookstore</th>
<th>1-4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Of Interest to the Teaching Faculty</td>
<td>1-3</td>
</tr>
<tr>
<td>Desk Copies</td>
<td>2</td>
</tr>
<tr>
<td>Trade Books</td>
<td>2</td>
</tr>
<tr>
<td>Other Services</td>
<td>2</td>
</tr>
<tr>
<td>Computer Sales and Services</td>
<td>2-3</td>
</tr>
<tr>
<td>Computer Purchase Loans for College Employees</td>
<td>3-4</td>
</tr>
<tr>
<td>Custom Publishing</td>
<td>4</td>
</tr>
<tr>
<td>Library Services</td>
<td>4-10</td>
</tr>
<tr>
<td>Circulation</td>
<td>5-6</td>
</tr>
<tr>
<td>Reference Service</td>
<td>6-7</td>
</tr>
<tr>
<td>Acquisitions Requests</td>
<td>7</td>
</tr>
<tr>
<td>Reserves</td>
<td>8</td>
</tr>
<tr>
<td>Interlibrary Loan and Document Delivery</td>
<td>8-9</td>
</tr>
<tr>
<td>The Automated System</td>
<td>9</td>
</tr>
</tbody>
</table>
Collections .................................................. 9-10
Circulating .................................................. 9
Non-circulating ............................................ 10
Notary Public Service .................................... 11
Dining Facilities .......................................... 11
Health Service ............................................. 11
Public Relations Office .................................. 11-12
Offset Printing Services ................................. 12
Photocopy Service ........................................ 12-13
Student Employment ....................................... 13

VI. SUNDARY MATTERS ..................................... 1-17
Faculty Travel .............................................. 1-2
Terms Abroad .............................................. 2
Administrative Staff ....................................... 2
Policies and Procedures for Travel and Expense Reimbursement .... 2-5
Purpose 2
Policy 3
Procedures .................................................. 3-5
Advances ..................................................... 3-4
Reimbursements .......................................... 4
Expense Reports ........................................... 4-5
Documentation ............................................. 5
Purchasing Procedure ..................................... 5
Use of Vehicles ............................................. 6-7
Campus Vehicles .......................................... 6
Personal Cars on College Business ...................... 6
Car Rental Program ....................................... 6-7
College Insurance - Liability ............................ 7
Automobile .................................................. 7
General Liability .......................................... 7
Declination of Salary or Stipend ......................... 7-8
Faculty Research .......................................... 8
Patents 8-10
Union College Policy for Investigating Scientific Misconduct .... 10-11
Employee Parking ......................................... 11-13
Vehicle Registration ..................................... 11-12
Failure to Register a Vehicle ........................... 12
Other Violations .......................................... 12-13
Use of College Facilities ................................ 13
Regulations of Union College Governing Campus Conduct .... 13-17
Statement of Purpose .................................... 13-14
Application of Rules ..................................... 14
Prohibited Conduct ...................................... 14
Penalties ..................................................... 14-15
Procedures .................................................. 15-16
Enforcement ............................................... 16-17
Policy Regarding Collective Bargaining .................. 17
Appendix I
   Random Sampling Procedure

Appendix II
   Suggested Letter to Students

Appendix III
   Suggested Letter to Alumni

Appendix IV
   Suggested Letter to Referees

Appendix V
   Evaluation Criteria for Librarians

Appendix VI
   Certification of Domestic Partnership
FACULTY MANUAL
UNION COLLEGE

SALARY AND FRINGE BENEFITS

I. SALARY PAYMENTS

Faculty contracts for the academic year are paid on a semi-monthly basis over 12 months. Salary payments commence September 1 and continue on the first and fifteenth of each month, with the last installment on August 15th.

Administrative contracts for the fiscal year are paid on a semi-monthly basis over 12 months. Salary payments commence July 1 and continue on the first and fifteenth of each month, with the last installment on June 15th.

Before the first salary check can be prepared it is necessary that one fill out the following forms at the Personnel Office:
-- Proof of Identity and Employability - Form I-9.
-- Benefit Enrollment.
-- Pension Information - (see Retirement Plan).
-- New York State Loyalty Oath.

A. STATE LOYALTY OATH

The oath required by Section 3002 of the Education Law "shall be administered by the president or other head of such school, college, university, or institution, or by the officer or person, or in the case of a board or body, having authority to employ such person as a teacher, instructor, or professor in such school, college, university, or institution...". This oath should be filed by the faculty member with the Personnel Office.

II. EMPLOYEE BENEFITS (effective July 1, 1994)

A. FLEXIBLE BENEFITS PROGRAM

Union College has adopted a Flexible Benefits Program to give an increasingly diverse employee population control over how the College's benefit dollars are spent. A Flexible Benefits Program permits employees to choose among the types of benefits, level of benefits and/or between benefits and cash.

The Union College "Flex Plan" will provide you with "flex spending dollars" based upon your election to enroll in any level of medical coverage, your election to
enroll in any level of dental coverage, or your election not to enroll in medical or
dental coverage.

Additional "flex spending dollars" are available as incentives for non-smokers,
those who participate in cholesterol/blood pressure screening program, and single
parents who meet certain qualifications.

The "flex spending dollars" that are allocated to you based upon the above elections
may be used to purchase:

-- Medical Insurance
-- Dental Insurance
-- A vision plan
-- Supplemental Life Insurance
-- Supplemental Accidental Death and Dismemberment Insurance
-- Supplemental Long Term Disability Insurance
-- Dependent Life Insurance
-- Auto, home, renters, and other personal Insurance
-- Financial planning services.

If the cost of the benefits purchased exceeds the "flex spending dollars," the
additional cost is paid by you through payroll deduction. Some of the additional
costs are tax exempt. Any unused flex dollars can be taken as salary or wages.

Another part of the Plan permits you to set aside tax exempt dollars for dependent
care and certain medical expenses.

Details and complete information regarding the Flexible Benefits Plan are available
from the Personnel Office of Union College.

B. DOMESTIC PARTNERSHIP BENEFITS (approved June, 1996)

1. Domestic Partnership Policy

Union College will extend all benefits now available to spouses of employees
to domestic partners of employees.

2. Definition of Domestic Partnership

Two adult individuals who live together in an intimate, long-term relationship
of indefinite duration with an exclusive mutual commitment similar to that of
marriage.
3. Eligibility

a. Domestic Partner

A domestic partner is the adult partner of an eligible employee who is sharing a long-term committed relationship of indefinite duration with the following characteristics:

-- Living together for at least six (6) months
-- Having an exclusive mutual commitment similar to that of marriage
-- Financially responsible for each other's well-being and debts to third parties. The couple has entered into a contractual commitment for that financial responsibility or have joint ownership of significant assets such as: home, car, or bank accounts and joint liability for debts such as mortgages and major credit cards
-- Neither partner is married to any one else nor has another domestic partner
-- Partners are not related by blood closer than would bar marriage in the state of their residence
-- Legally recognized marriage is barred by New York State law.

b. Dependent Children

The definition of eligibility for dependent children shall be based upon the relationship between the employee and the child and be consistent with the eligibility definition used by the college for each employee benefit currently in effect, as specified in IRS Section 152.

c. Method of Implementation

The method of implementation requires that domestic partners register a Certification of Domestic Partnership with the Personnel Office for the partner benefits by signing a declaration stating that they meet all the requirements for domestic partnership (Appendix VI).

d. Tax Considerations

Unless the domestic partner qualifies as a dependent of the employee under IRS Sec. 152, Union College's cost of providing
these benefits is taxable income to the employee. Because of tax laws and other legal considerations, medical care and dependent care reimbursement accounts cannot be extended to domestic partners.

C. BUSINESS TRAVEL ACCIDENT INSURANCE

This program provides a benefit of $200,000 if you die in an accident while traveling on Union College business (other than commuting to and from work). The benefit is payable to the beneficiary you name in your group life insurance. It also pays a benefit equal to 50% or 100% of the principle amount if you lose a hand, foot, or are blinded in an accident while traveling on Union College business. The College pays the entire cost of this benefit.

D. DEATH BENEFIT FOR FACULTY

Should a faculty member die during the academic year, the College will pay to the designated survivors (or estate) a pro rata portion of the faculty member's annual salary. The percent of salary to be paid will be dependent upon the percent of the assigned academic services completed at the time of death.

In addition, as a widow's/widower's benefit, the College will provide to the surviving spouse of a deceased full-time faculty member a gift amounting to 1/10 of the faculty member's annual salary.

E. INCOME PROTECTION

1. Short Term Disability

Faculty and administrative staff absent due to illness, injury or other qualifying medical condition will receive full salary for the first seven consecutive calendar days. Faculty and administrative staff absent beyond the first seven days will receive continuation of full salary for up to three months plus one additional week for each year of service. Full benefits will continue for the duration of the short term disability.

To receive full salary continuation faculty and administrative staff must submit an appropriate Physician's statement to Personnel, indicating date of disability, job limitation/inability to perform job responsibilities, and length of disability/potential return to work date. To return to work, faculty and administrative staff must submit a Physician's statement to the Personnel Office indicating ability to return to regular/modified job responsibilities and a return to work date.
The work of the absent person has been customarily carried on by other members of the faculty or administrative staff during his/her absence, except when the absence was of such duration as to cause a material deficiency in the teaching or administrative service or of such duration as to impose undue hardship on the members of the faculty or administrative staff. In such event, the applicable Vice President will consider obtaining a replacement.

These provisions are effective for full-time faculty and administrative staff. Proportional provisions will be made for part-time employees in the same groups.

2. Workers Compensation Benefits

This benefit provides weekly compensation if a college employee is disabled as a result of an on-the-job injury or work-related illness. The plan also provides benefits for medical treatment and compensation for loss of sight, hearing, or limbs. The College pays the entire cost of this benefit.

F. RETIREMENT POLICY

Faculty and staff who leave employment and who have completed 15 years of service, after attaining age 40, will be considered as Retirees of Union College. Retirees are eligible to participate in, and have access to, College events and facilities. Retirees and their enrolled spouse are also eligible to participate in the Union College Retiree Health Insurance Program.

G. RETIREMENT PLAN

The College has a Defined Contribution Retirement Plan. To be eligible an employee must have a full-time appointment, have completed one year of service and have attained age 26. However, if one came from an institution after having participated in its institutional retirement 403(b) or 403(b7) plan eligibility will begin the first of the month after 30 days of employment.

The College will contribute an amount equal to 11% of the employee’s base annual salary.

The employee may elect to make personal contributions by payroll deduction (after tax) or reduction (before tax). The amount that may be tax-deferred (known as the maximum exclusion allowance) is determined by the Internal Revenue Code. The Personnel Office can offer advice regarding this matter.
The College has designated TIAA/CREF and Fidelity Investments as the managers of retirement funds contributed by the College or by the employee through payroll reductions or deductions.

Employees will be required to designate which organization or organizations you choose and the amounts to be deposited with each.

H. OTHER BENEFITS

1. Moving Expenses

New members of the teaching faculty and administration may receive financial assistance from the College in meeting expenses incurred by the move to this area. The amount of reimbursement is generally one-half of the cost and does not include cartons, packing, personal transportation, and expenses, storage, warehouse costs, or secondary moves.

The College has entered into an agreement with a local agent, which provides a substantial discount for packing materials, packing, and the transportation of household goods. Moving arrangements may be made utilizing this program if the College is providing financial assistance. Individuals may elect to use this program even if the College does not pay any portion of the moving expenses.

Moves made by the use of rented equipment may be fully reimbursed, if the cost is no more than the discounted price available under the local agent.

2. Personal Leave of Absence Without Pay (effective July 1, 1989)

Members of the faculty or administrative staff may request a personal leave of absence without pay for one academic term for faculty or its equivalent for administrators. Leaves may be renewed. Requests for a personal leave or renewal of leave should be submitted to the department chair or supervisor at the earliest possible time so that arrangements can be made to fulfill personnel needs.

Faculty and administrators should arrange to continue Flexible Benefit coverage through the Personnel Office. Health care coverage may be continued provided the individual pays the full premium. The College does not make any contribution to the pension plan while the leave is in progress. Those going on leave who have children in college and are receiving financial assistance from Union towards tuition costs elsewhere should inform the Dean of the Faculty's Office of their plans and, when they return to Union, apply retroactively for this fringe benefit for the year of the leave.
Finally, although the College recognizes the importance of such leaves, approval of such a requested leave of absence without pay is at the discretion of the Board of Trustees upon the recommendation of the President.

3. Family and Medical Leave

This policy statement is a summary of the Federal Family and Medical Leave Act of 1993. The Act, which is effective 8/5/93, is specific in its scope of coverage and will be the determining factor in final interpretation of Leave provisions. You should contact the Personnel Office for information about specific situations.

Faculty and Staff who are members of the regular staff, have been employed for at least 12 months, and have worked a minimum 1250 hours in the 12 months preceding the events that are listed below are entitled to receive a combined maximum of 12 weeks unpaid leave under the following provisions of the Federal Family and Medical Leave Act of 1993.

This leave is intended to begin after the conclusion of coverage under the provisions of College sick-leave policy, New York State Disability Insurance, Worker's Compensation Insurance, or Long Term Disability Insurance.

The provisions of this policy apply only to Family and Medical Leave circumstances covered by the Federal Law. The provisions for Personal Leave of Absence under existing policy are not changed and cannot be substituted for the provisions covered by the Federal Law.

a. Family Leave Entitlement

This benefit is available under the following conditions:

1) The birth of a child or children and the need to care for such offspring.

2) The placement of a child or children with the employee for adoption or foster care.

The length of the leave is a maximum of 12 weeks beginning with the birth or placement of the child or children. In the case of employees who are birth mothers, the eligibility for leave begins when the primary physician releases the employee to resume normal work duties. Entitlement to leave expires at the end of the 12 month period beginning on the date of birth or placement. Accrued vacation monies and other appropriate paid time off monies will be paid during the leave period.
Since the need for Family Leave is typically foreseeable, employees must notify the head of their department of their intentions to request the leave at least 30 days in advance so that provisions can be made to have their duties carried out during their leave. If the date of the birth or placement requires leave to begin in less than 30 days, the employee must provide notice as soon as practicable.

b. Medical Leave Entitlement

This entitlement occurs under the following conditions:

1) A need to care for spouse, son, daughter, or parent if any have a serious health condition as defined in the Law.

2) A need to care for one's own serious health condition (as defined in the Law) which makes adequate performance of one's job impossible.

The leave maximum is 12 weeks beginning with medical certification notice from the professional health care provider. In the case of an employee's own serious health condition, the eligibility for leave begins when College and statutory wage continuation ceases. Medical Leave can be taken on an intermittent or reduced time basis contingent upon documented medical necessity. Accrued vacation monies and other appropriate time-off monies will be paid during the 12-week period.

Whenever possible, one must give 30-days notice before taking leave; otherwise one should give notification as early as possible. Employees must also make reasonable efforts to schedule treatment so as not to disrupt the work of their department.

c) Job and Benefit Protection

Upon return to active work, employees will be restored to their former positions or positions of equivalent pay, benefits, and other terms and conditions of employment if the former position has been filled.

Health, dental, life, and long-term disability benefits will remain in effect during a leave on the same basis and premium sharing and payments as if one were not on leave. College contributions to the pension plan will not be made during the leave period. Accrual of benefits or eligibility for benefits based upon time worked or length of employment will not continue during the unpaid leave.
d) Procedure for Securing Leave

An employee should submit a written Leave request to the immediate supervisor and Department Head within a minimum 30 days, or as soon as practical, of the beginning of the Leave. A health care provider statement will be necessary as well in the case of Medical Leave.

The request will be reviewed in light of the requirements of the Law, and a written response containing any specific conditions or need for additional documentation will be given to the employee.

4. Credit Union

All employees of Union College are eligible for membership in the Schenectady Teachers Federal Credit Union, which offers advantageous rates for savings and borrowing money. Further information can be obtained from the Personnel Office or directly from the Credit Union at 1776 Union Street, Schenectady, telephone 393-1326.

5. Faculty and Administration Second-Mortgage Program

This program was established and approved by the Board of Trustees in 1956. Second mortgage loans are to be made available to full-time faculty and administrative staff. Such loans are to be issued directly by the College to the employee for the purpose of purchasing homes in the Schenectady area.

How the program works:
-- Employee signs note and mortgage to the College.
-- The attorneys for the College handle all the paperwork with the employee.
-- The legal fees incurred by the College are to be paid by the employee.
-- The maximum loan amount available is $15,000 and the maximum repayment period is 15 years.
-- The interest rate on loans granted by Union in this program will be based upon the net yield on Federal National Mortgage Associate (Fannie Mae) fixed rate bonds with a 15 year maturity (or less as applicable) plus 1%. This interest rate to be fixed on the third business day prior to closing.
-- The College issues a check to the employee.
-- The College collects monthly payments from the employee through automatic payroll deduction.
-- The loan balance outstanding will be reviewed annually by the Finance Office. The current authorized total amount available for loans shall not exceed $250,000.
6. College Plot in Vale Cemetery

Members of the College faculty and administrative staff, their spouses, and their unmarried children have the privilege of interment in the College plot in Vale Cemetery without charge for the plot assigned. Provision for additional plots for other family members may be voted by the Board of Trustees in exceptional circumstances. The faculty member is responsible for furnishing adequate markers and for the upkeep of the area assigned. A "perpetual care" plan may be purchased from the Vale Cemetery Association. Further information is available in the Administrative Services office.

I. FACULTY/STAFF CHILDREN'S SCHOLARSHIP PROGRAM

The Faculty/Staff Children's Scholarship Program includes:
-- Full-time enrollment at certain institutions other than Union College,
-- Full-time enrollment at Union College, and
-- Part-time enrollment at Union College.

The scholarship program is subject to the following eligibility qualifications and other terms and conditions.

1. Full-time Enrollment Scholarships

a. Eligibility Provisions

1) For the purposes of this program and whenever used herein, the word "children" or "child" refers only to children the employee claims as "dependent" for federal income tax purposes and who are either (1) the natural-born children of the employee in question, or (2) legally adopted children of the employee adopted (i) before the child reached 18 years of age and (ii) five years or more before entrance of the child into college.

2) The following are eligible for full-time enrollment scholarship benefits specified in Paragraphs c and d on page 12:

a) Children of members of the Union College faculty and Union College salaried and hourly non-faculty employees, (faculty and employees hereinafter collectively referred to as "employees") provided that:

-- The employee has been employed at the College on a regular full-time basis for at least five years prior to the
date on which the requested tuition scholarship would take effect; and

-- The employee is in active service during the scholarship period or on a leave of absence that has been authorized by the Board of Trustees and that extends for not more than one calendar year.

-- For purposes of subdivision (a) time worked in a part-time or temporary status is not considered in determining the five-year minimum. For purposes of subdivision (b) such children are eligible only while the parent is employed by Union College. Eligibility of the child ceases automatically if the parent ceases to be employed by the College.

b) Children of retired employees of the College may be eligible upon recommendation of the President and the approval of the Board of Trustees.

c) Children of employees who are disabled or who die while in active service of the College and who completed at least ten consecutive years in the College’s employ are eligible.

3). The changes to the Faculty/Staff Children’s Scholarship Program in Section I herein shall be effective and govern eligibility as of July 1, 1985, and thereafter until such time as the Program may again be amended. However, for any eligibility obtained prior to July 1, 1985, the immediate former Faculty/Staff Children’s Scholarship Program shall remain valid.

b. Qualifications for Eligible Children

1) To qualify for a scholarship from Union College, the child must be

a) Enrolled in the undergraduate program of an accredited institution offering a bachelor’s degree in the arts, sciences, or engineering; or

b) Enrolled in a recognized two-year junior college, provided the applicant is pursuing a program of study that at the end of two years of study will qualify him or her for transfer to another institution offering a bachelor’s degree in the arts, sciences, or engineering.
2) To retain the scholarship, the child must be in Good Standing at the institution attended.

3) In the interest of fairness to all, Union College expects that students will complete their baccalaureate education in four consecutive academic years, or the equivalent number of semesters or academic terms including summer, and will therefore limit its tuition scholarships to apply to only these first four years of study. For example, a student who attended a college for two years before the parent became eligible for a Union College tuition scholarship and then requested three years of scholarship once the parent became eligible would only be entitled to two additional years, and not three because of this four-year limit.

4) Individuals who are enrolled full-time under the Faculty/Staff Children's Scholarship Program may take one course or more during the summer tuition free under the part-time benefit. However, any such course or courses shall count toward the four year limit (eight semesters or twelve terms).

c. Scholarship Amounts to Institutions Other Than Union College

1) For eligible children who attend institutions other than Union, the amount of each annual award shall be equal to the lesser of

a) One-half the annual tuition at Union, or

b) The annual tuition charge at the institution attended.

2) The maximum cash liability of Union College for all scholarships paid to other institutions in any single year shall be limited in the first year (1985-86) of this program to $120,000.00. This limit shall be increased in each subsequent year after the first year by the same percentage allowed for increases in the general compensation budget of Union College. In the event that claims for any year shall be in excess of that limit, then treatment of claims and the excess shall be referred to the Board of Trustees by the President of the College: Such treatment may include proportionate reduction in all claims to eliminate the excess.

d. Scholarship Amounts to Attend Union College

1) For eligible children who attend Union College the amount of each annual award shall be equal to the Union College tuition.
e. General

1) Individual Union College full-time enrollment scholarships for those attending Union College or institutions other than the College are limited to that amount of the tuition fee remaining after the sum of all other grants or awards are subtracted from it (e.g., TAP award, etc.).

2) Entitlement amounts under the Scholarship Program shall be payable in installments as tuition for credit against the recipient's tuition charges.

3) Scholarship grants under this Part 1) are awarded to each eligible child on an annual basis for not more than four years of undergraduate study.

2. Part-time Enrollment at Union College

a. Eligibility Provisions

Eligibility extends only to full-time Union College faculty and Union College salaried and hourly non-faculty employees (hereinafter all collectively referred to as "employees"), their spouses and "dependent" children (as defined in number 1, a, b and c on pages 10 and 11). Eligibility for this "Part-Time Enrollment" scholarship begins with the date of commencement of the employee's full-time status at the College.

b. Entitlement

Union College employees may enroll, on a part-time basis, in a maximum of four Union courses per calendar year free of charge. This would mean one course per term, including summer school. Employees registering for a free summer course will not be included in the enrollment count that determines whether a course will run or be canceled. Spouses and dependents of Union College employees may enroll on a part-time basis in up to three courses per calendar year at no cost. This entitlement does not allow a child or spouse attending full-time to have his or her tuition bill reduced by one-third.

c. General

1) Employees under the part-time enrollment shall take courses that are not in conflict with the employee's work schedule.
2) Admission to degree status is governed by the regular requirements and procedures of the College.

3) Any special or other fees and costs related to tuition-free courses must be paid by the employee.

3. Administration and Miscellaneous Pertaining to number 1 (page 10) and number 2 (page 13)

a. Administration

1) This program is administered by the President or other officers of the College if the President has delegated such authority. These officers will make the availability of the Scholarship Program known to the College community.

2) The Executive Committee of the Board of Trustees shall be sole interpreters of the provisions of this program except that it shall be the responsibility of the administrators of the program to define whether a child remains in Good Standing.

3) The Board of Trustees reserves the right to amend all provisions, qualifications, and terms of the Program and grants thereunder as, in their sole discretion, circumstances make necessary or advisable.

b. To retain a scholarship under number 1 (full-time enrollment) or number 2 (part-time enrollment at Union College) a child must remain in Good Standing at the institution attended including Union College. It is the responsibility of the parent or employee to notify the officer administering these grants if the child withdraws or fails to remain in Good Standing at the college for which he or she is receiving benefits. In the event that the child qualifies for a refund from the college attended, such refund will be made directly to Union College for as much of the original Union College award as the refund covers and not merely for a proportion thereof. An employee or child under this program may remain liable to Union College in the event (i) a refund is not directed to Union College as provided herein, or (ii) the College is not notified if the child withdraws or fails to remain in Good Standing at the college for which he or she is receiving benefits.

c. Any conflict in this program or between this Program and any other Program of the College or other rules and regulations of the College shall be resolved by the Executive Committee of the Board of Trustees.
While Union College intends to continue these benefit programs indefinitely, the College reserves the right to change or discontinue any of the benefits described herein.
FACULTY APPOINTMENTS, TENURE, PROMOTION, LEAVES

I. APPOINTMENTS OF TENURE-TRACK FACULTY MEMBERS

A. NEW APPOINTMENTS TO THE FACULTY

Appointments to the Faculty of Union College are for one, two, or three years at a rank and salary appropriate to the academic background and teaching experiences of the appointee and in keeping with the criteria described under each rank. The letter of contract from the Office of the Dean of the Faculty indicates whether the appointment is terminal or open to continuation if mutually agreeable. Any special conditions pertaining to the appointment are mentioned in the letter of contract, subject to review and approval by the Board of Trustees. The new faculty member is expected to sign the letter of acceptance and provide a vita for the College files.

B. FIRST-YEAR REVIEW OF FACULTY

All faculty (visiting, lecturers and tenure-track) must be provided with a developmental first-year review. The review should be performed by the department chair and completed by the start of classes in the fall, but must be completed no later than September 30th, of the second year. The Dean of Arts and Sciences or the Dean of Engineering (as appropriate) will meet with the faculty member to discuss the review and outline steps for continued development in teaching, scholarship and college service.

Guidelines:

1. The review should include an evaluation of progress relative to college-wide standards in teaching, scholarship and college service.

2. The teaching review should contain a discussion of:
   a. student course evaluations
   b. level of challenge in courses
   c. course materials (such as syllabi, tests, and handouts that may be provided by the candidate)
   d. peer observations of teaching

3. The scholarship review should discuss the level of scholarly activity and the faculty member's progress in developing a research program at Union. Mention of articles, books, grant applications, shows, performances, conference papers, etc., are all relevant.

4. The review should make appropriate suggestions for further development in teaching, scholarship and departmental/college service.
The purpose of this review is developmental. The Faculty Review Board will not see this review nor will it be made available as part of the record for the reappointment review or tenure review. Every effort should be made to give clear and constructive advice to the faculty member. (Suggestions could include writing grants, submission of articles to higher quality journals, videotaping lectures, team teaching, observation of senior faculty, attendance at professional meetings, etc.)

The review should be given to the faculty member and a developmental interview scheduled with the chair before the report is sent to the Dean of Arts and Sciences or the Dean of Engineering.

C. REAPPOINTMENTS PRIOR TO TENURABILITY REVIEW

No tenure-track faculty member may be reappointed to a contract that would carry through the year of tenurability review without first being evaluated in a formal reappointment review. Normally, tenure-track faculty members will undergo the required reappointment review during the academic year that falls three years before the year in which a tenurability review would occur. (Normally such a review takes place in the spring term.) The Dean of the Faculty acts on recommendations of Department Chairs for initiation of reappointment reviews. If it is decided that there is to be no reappointment review and that a faculty member will receive no reappointment after expiration of a contract, the faculty member shall receive such notification no later than 12 months before expiration of the contract. If such notification occurs less than 12 months before expiration of said contract, the faculty member in question will be entitled to an additional one-year terminal contract.

The reappointment review should be a serious and carefully considered review of the candidate's performance to date and a judgment on the potential for successful tenurability review in a further three years. To this end, the evaluation should be carried out as thoroughly and uniformly as possible, and the recommendation in its entirety forwarded to the Faculty Review Board for its consideration. The candidate will be judged by appropriate then-current College-wide standards in teaching, scholarly activity, and College service.

The Department Committee should be made up of at least three tenured and/or tenurable members of that department; if that number is less than three, the difference should be made up with tenured or tenurable members of other departments chosen by the Department Chair in consultation with the Dean of the Faculty. The candidate must be informed about the inclusion and identity of non-departmental members.

The Department Committee report will be accompanied by a cover letter signed by all tenured and tenurable department members except in cases where membership on the Faculty Review Board precludes participation in the departmental
process; each department member who signs should indicate concurrence or non-concurrence with the recommendation of the report; letters of dissent from the recommendation may be attached to the final report. All letters and supporting documents should be attached to the final report which is submitted to the FRB.

The candidate should submit to the Department Committee all relevant written material including, but not limited to the following:

- Complete and current vita.
- Statement of teaching and research objectives.
- Materials on all courses taught.
- All published materials, and whatever unpublished work the candidate wishes. This may include artistic work, equipment construction, library projects, or other work appropriate to the candidate's field.

A campus-wide announcement should solicit statements from faculty, administrators, and students who have worked with the candidate in the following areas:

- Teaching.
- Scholarly Activity.
- College Service.

In evaluating teaching, the following steps are to be taken: 1) student end-of-term questionnaires and any summaries of numerical data should be examined carefully by the Department Committee before conducting interviews; 2) all faculty members of the candidate's department should be interviewed by the Department Committee; and 3) a representative sample of approximately twenty students should provide written and oral or just written testimony to the Department Committee. To receive oral testimony, a student interview should be arranged at which at least two members of the Department Committee are present. As far as possible, a uniform interview procedure should be used. The final report should provide a summary of the characteristics of responding students by graduating year, major, grade received in the course, sex, and class size. The committee should also indicate the percentage of those responding from the number originally selected by the random sampling procedure. The section on teaching also should include a discussion of how the candidate's area of specialization and ability to teach necessary courses meets the department's curricular needs. Information for this discussion should be gleaned from interviews with members of the candidate's department.

A section on scholarly activity should include a statement of the candidate's area of research and how it fits with the needs of the department, now and for the future. Each member of the Department Committee should evaluate all available research material together with other evidence of ongoing scholarly activity and members of the candidate's department should be interviewed. In unusual circumstances, the committee may decide that it cannot evaluate the scholarly activity of the candidate. With approval of the Faculty Review Board, the committee should then consult with the candidate concerning the choice of
outside reviewers. Normally, at least two reviewers should be chosen, one of whom is not known personally by the candidate.

Starting with information supplied by the candidate, the Department Committee shall seek assessment of the quality of the candidate's contribution to College service in the areas of committee work, student academic advising, participation in departmental activities, seminars, freshman orientation, and so on.

The candidate must be interviewed by the Department Committee.

A file shall be kept of all materials received or generated or utilized by the Department Committee in its deliberations. Prior to the submission of the Committee's report to the FRB, a list of all the materials in this file must be submitted to the Chair of the FRB, who shall review this list to ascertain whether the file is complete. Upon submission of the report to the FRB, all materials in the file will also be sent to the FRB. (Only senior members of the FRB, the relevant academic deans, the Affirmative Action Officer, and one junior member of the FRB who has passed the reappointment review are eligible to participate in deliberations concerning determination of reappointment.) At this time, the list of these materials will be given to the candidate together with the procedures used by the Department Committee in obtaining the information submitted to the FRB. Confidential documents in the file shall be identified only as to their nature (e.g., "cover letter providing vote of department"). If the Department Committee seeks any additional materials or information at the behest of the FRB or the Dean of the Faculty, or if such materials are sought or received by the FRB or by the Dean of the Faculty after the submission to the FRB of the Departmental Committee report, the information shall be shared with both the FRB and the Dean so that the final determination made by the FRB and the Dean shall be based on the same body of information. Before the FRB and the Dean of the Faculty reach their final determination in the case, such materials shall be added to the file provided by the Departmental committee, the candidate shall be given the revised list of materials in his or her file, and the candidate shall be given an appropriate opportunity to respond to any additional perceived deficiencies other than those presented to the candidate by the Departmental committee. The candidate shall also be given a copy of the final report of the Department Committee (without the confidential material) at least one week before it is submitted to the FRB. All important perceived deficiencies in the candidate's record (if any) which are mentioned in the confidential portions of the materials submitted to the FRB shall be summarized in that part of the report given to the candidate. (Summary material must be prepared in such a way so as to protect the confidentiality of sources.)

The candidate has the option to attach written comments to the final report that will be forwarded to the FRB, including comments on the procedures used by the Department Committee. The copy given to the candidate should not include any confidential material, including the cover letter, any statements of dissent from
the recommendation, and any attachments or appendices containing confidential materials.

The final report submitted to the FRB must include a discussion of the information indicated above, the recommendation for reappointment or for a terminal contract, and the following information as appendices: 1) the candidate's complete and current curriculum vitae; 2) the candidate's statement of teaching and research objectives; 3) a summary of both the qualitative and quantitative sections of the end-of-course evaluations; 4) a separate appendix including letters solicited from students; and 5) other letters submitted to the Committee.

The FRB and the Dean of the Faculty shall judge a candidate by the appropriate then-current College standards regarding teaching, scholarly activity, and college service. Their review shall consist of an evaluation of the candidate's Department Committee report and attachments. The FRB and the Dean of the Faculty also have the authority to request any other information it deems relevant, using procedures for obtaining information consistent with those required of the Department Committee. If the FRB and the Dean of the Faculty make a positive determination concerning a candidate’s reappointment, the Dean of the Faculty shall convey the positive recommendations to the President and the FRB shall convey its findings in writing to the candidate.

If the FRB and the Dean of the Faculty make a negative determination concerning a candidate’s reappointment, the FRB’s negative determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty. The Dean shall then meet with the candidate to convey the FRB’s written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

If the FRB makes a negative determination concerning a candidate’s reappointment and the Dean does not concur with the determination, the Dean shall refrain from communicating her/his determination to the President until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed. The FRB’s negative determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty. The Dean shall then meet with the candidate to convey the FRB’s written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

In the event of a positive determination by the FRB followed by a negative determination by the Dean of the Faculty, the Dean shall meet with the candidate to convey the Dean’s statement, written in consultation with the FRB, of her/his determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

In all cases the President shall make a decision on whether the candidate should be granted or denied reappointment. In the case of a negative determination by
the FRB and/or by the Dean of the Faculty, the President shall make no negative decision until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed. The Faculty Appeals Committee shall send its conclusions and reasoning to the President, who shall then make the final decision.

In all cases in which the President approves a reappointment, that reappointment shall be reported to the Board of Trustees.

If the FRB and/or the Dean of the Faculty makes a negative determination on the candidate, and if the candidate in timely fashion decides to seek reconsideration by the FRB, and/or if the candidate in timely fashion files an appeal with the Faculty Appeals Committee, or if for any other reason the President does not make a decision on the case before the expiration of the existing contract, then the Dean of the Faculty at a time subsequent to the negative determination by the FRB, but before the expiration of the candidate's contract, will give notice of termination to the candidate, and will offer the candidate a terminal one-year contract, except in that case in which the appointment carries through the following year, in which case the final year of the existing contract becomes a terminal one-year appointment. This notice will constitute legal notice of termination, but will not prejudice any reconsideration of the case by the FRB, any consideration of the case by the FAC, or any further consideration of the case pursuant to a recommendation to the President by the FAC, or any final decision in the case by the President.

Should the President, subsequent to such notice, make a positive decision on the case, and should his recommendation for reappointment be approved by the Board of Trustees, the candidate will be offered a new contract superseding the terminal contract offered by the Dean of the Faculty.

II. PROMOTIONS (effective February 3, 2000)

A. PROCEDURES FOR PROMOTION

Faculty to be eligible for promotion must normally meet one of the following criteria:

- A minimum of ten years of professional work as a faculty member or equivalent professional service, and tenured or tenurable to the College.
- A minimum of five years in the rank of Associate Professor at Union College, and tenured or tenurable to the College.

The departmental chair originates the request in writing for the promotion of a faculty member of the department to Assistant or Associate Professor. Recommendations for promotion to professor shall originate with the Vice President for Academic Affairs, The Dean of Arts and Sciences or the Dean of Engineering, the Chair of the Faculty Review Board, the Chair of the Department,
or the faculty member himself or herself. The FRB itself may determine through its triennial review that consideration for promotion is appropriate. In submitting this recommendation, the factors that prompt the request should be listed. The Dean of the Faculty and the Chair of the FRB shall review annually the list of Associate Professors for the purpose of selecting candidates for promotion. The record of achievement since the last promotion or since the original appointment to the Faculty of Union College determines eligibility for promotion.

In reviewing a recommendation for promotion, the College considers primarily teaching ability and research activity (or comparable creative activity), for it regards teaching effectiveness and substantial professional achievement as inseparably related: each enriches the other. In addition, the reviewing committee (the FRB) considers professional involvement, services to the College, and in some instances, the rank structure within the department and the fields of competence of the teacher relative to the educational goals of the institution. Time-in-rank is not to be an arbitrary factor either for or against eligibility for promotion. All recommendations for promotion are transmitted to the Board of Trustees.

If a candidate has been nominated for consideration and wishes to proceed, he/she should provide the Department Chair with a portfolio containing the following information:

- A current *curriculum vitae*
- Any published material or the disciplinary equivalent
- Other scholarly work such as papers, grant applications, etc.
- Copies of the triennial reviews since the tenure decision with annual reviews attached.
- Any other relevant materials to support teaching the candidate wishes to provide.
- Any materials in support of service activities.
- A research, teaching, and service statement.

After reviewing the portfolio, the Chair and the (full) professors of the faculty member's department will send the portfolio and an accompanying recommendation to the FRB as to whether or not it should consider the candidate for promotion at this time. The FRB will then choose among the following procedures:

1. Following the review of the recommendation and the portfolio, the FRB may choose not to recommend the candidate to the Vice President for Academic Affairs/Dean of the Faculty for promotion at this time.

2. If, following the review of the departmental recommendation and the portfolio, the FRB concludes that the process of promotion should proceed, the FRB will follow the procedures outlined in a or b:
a. If the candidate has been in the rank of Associate Professor for less than fifteen years, the FRB will ask the Department Chair and the other (full) Professors in the Department to constitute a committee of at least two members (if no other full Professors are available they may be selected from the same Division as the candidate). The committee will solicit at least three external reviewers, one of which will be chosen from a list of three potential reviewers presented by the faculty member.

The candidate will submit to the Departmental Committee a curriculum vitae accompanied by any published materials or other work that the candidate wishes to submit to the external reviewers.

Upon receipt of the reports of the external reviewers, the departmental committee will write a short summary on the candidate's scholarship to submit along with the reviewers' letters to the FRB. Before the report is submitted to the FRB, the faculty member will be informed of potential criticisms and be given adequate time to respond.

After consideration of the departmental report and the letters of the reviewers, the FRB will or will not recommend promotion to the Vice President for Academic Affairs/Dean of the Faculty.

b. If the candidate has been in the rank of Associate Professor for at least fifteen years, the FRB may consider the candidate for promotion on the basis of exemplary teaching and service to the college and the profession. The FRB will assess the portfolios of candidates in this group and recommend for or against promotion on this basis to the Vice President for Academic Affairs/Dean of the Faculty.

In cases of a negative recommendation or a decision by the FRB not to proceed with the process, the FRB will write a letter with an explanation of the decision. The Dean of the Faculty or his/her designee will meet with and discuss the letter with the candidate.

In the case of a decision by the FRB to recommend promotion that is not accepted by the Dean of the Faculty, the Dean of the Faculty will write a letter of explanation and meet to discuss the decision with the candidate.

B. FACULTY RANKS AND THE CRITERIA FOR PROMOTION

1. Instructor

Appointment to the rank of instructor may be for one, two, or three years, renewable or not in accordance with the letter of contract. New members of the Faculty, beginning at the rank of instructor and without the doctorate who are awarded the doctor's degree during the academic year, are raised in rank at once to Assistant Professor. Further, if all the requirements for the degree
are completed by March 1st, there is an automatic salary increment of $1,000, this sum being pro-rated during remaining pay-periods of the contract year.

2. Assistant Professor

Appointment or reappointment at the rank of assistant professor generally shall be for three years and is renewable unless the letter of contract specifies otherwise. Promotion to this rank requires the following:
- Normally, the Ph.D or its equivalent.
- Demonstrated professional competence.
- Scholarly activity and professional alertness.

3. Associate Professor

Those appointed initially to the rank of associate professor receive a three-year contract, renewable with or without tenurability in keeping with the provisions for determining tenurability. Two appointments at this rank may be regarded as conferring tenurability unless the College indicates to the contrary. Appointment or promotion to this rank normally has these requirements:
- The Ph.D. or its equivalent.
- Outstanding performance as a teacher.
- Mature scholarship recognized by the profession.
- Continuous and substantial service to the College.

4. Professor (effective February 2, 2000)

Appointment to the rank of full professor from within the faculty of Union College automatically confers tenurability if not already granted and is recognition of a sustained contribution to the educational programs of the College and an established professional competence. Appointments to this rank from outside the Faculty shall be for three years, and a decision on tenurability shall be made no later than the second year of this appointment. Any appointment from outside the faculty which carries with it tenurability shall be made only after consultation with the Faculty Review Board. Promotion to this rank normally require these attainments:
- The Ph.D. or its equivalent.
- Excellent performance as a teacher since the tenure review.
- Continuing mature scholarship recognized by the profession and normally demonstrated in publications, exhibits, elections to office in national or international professional organizations, receipt of grants or awards, or similar marks of distinguished scholarly accomplishment.
- Continuing and sustained service to the College.

5. Special Appointments (effective Nov. 15, 1991)
a. Any special appointments require authorization of the position by the Dean of the Faculty.

b. Candidates who have the qualifications appropriate to the ranks as described in sections 1, 2, 3, and 4 of this section, but who are recommended for appointment to a full-time position without a tenure-track line are designated as Visiting faculty. These appointments are normally for one, two, or three years. On occasion, a one- or two-year appointment may be made subsequent to the third year, but no individual may remain in a visiting position at the College for more than five years.

Visiting faculty are eligible for faculty travel, faculty research funds, IEF grants, and participation in the governance system. The College allocates its funds for yearly raises, as well as special allocations, to all full-time faculty regardless of tenure-track or visiting status. Visiting faculty, however, do not participate in the annual or triennial merit system.

c. The curricular demands of the College may require the appointment of individuals to positions that do not require a terminal degree in the field in order to fill a particular teaching need. These individuals, from whom there are no expectations of scholarship, are designated as Lecturers. These appointments, which are for one, two, or three years, are only appropriate under special circumstances and are subject to approval by the Dean of the Faculty.

The procedures for the review of visiting faculty and lecturers are outlined on FM II, page 24.

d. For part-time appointments, the term Adjunct is used.

III. PROCEDURE FOR A DECISION ON TENURABILITY

Recommendations for a tenurability review originate with the departmental head, who shall have consulted with tenured and tenurable members of the department, and are forwarded to the Dean of the Faculty in writing along with a resume of the faculty member's background and achievement. These recommendations shall reach the President by May 1 of the year preceding a final decision, so that a review may occur and a recommendation, if appropriate, be transmitted to the Academic Affairs Committee of the Board for action at a meeting of the Board of Trustees sometime before the expiration of a candidate's contract. No such evaluation will be completed later than the end of a faculty member's sixth year of full-time service in a tenure-track position unless any earlier date for completion of the evaluation a) is required by any specific condition of a faculty member's initial appointment or b) has been requested by a faculty member, recommended by his or her Department or the Dean of the Faculty, and approved by the Faculty Review Board and the President.
Tenurability will not normally be conferred unless the individual holds the doctorate or appropriate terminal degree.

A. **PROCEDURE FOR INITIATING A TENURE REVIEW** (revised January 1, 1988)

Every department should have a significant role in the tenure decision early in the process. While it is inappropriate for a department to duplicate all of the activities of the *ad hoc* committee, there are certain aspects of each case for which the department *should* possess especially pertinent information. Since the Faculty Review Board is interested in having such data available to the *ad hoc* committee at the outset of the investigation, we suggest the following procedure:

1. The tenured/tenurable members of the candidate's department should act as a preliminary screening committee.

2. This committee should gather the following information concerning the candidate: written term-end course evaluations (or summaries), copies of publications and any other scholarly work, all performance evaluation letters, and any other information it deems relevant.

3. The written course evaluations should be examined carefully and compared with appropriate departmental norms. The review is to be based on no more than six terms of teaching. (Revision of April 26, 1993.)

4. The scholarly work should be reviewed; it may be helpful, in this regard, to obtain from the candidate a statement guiding the readers to what the candidate feels are the important problems and solutions or achievements of this work.

5. A careful discussion of the candidate's role in the future plans of the department should be undertaken. Special consideration should be made of how the candidate's expertise fits the curricular needs of the department, of how the candidate's scholarly pursuits nourish the intellectual life of the departmental program, and of any other aspect of the candidate's collegiality the committee deems professionally important.

6. After reviewing the evidence available to it, the committee should formulate a written recommendation, with respect to the formation of an *ad hoc* tenure committee, to the Dean of the Faculty. This recommendation should include summaries of the committee's findings and deliberations for items (3) and (5) above. It may also include, if the committee so desires, a qualitative assessment of the candidate's scholarly work. If the decision is not to recommend formation of an *ad hoc* tenure committee for the candidate, the specific reasons for the decision must be submitted in writing along with the recommendation.
7. A copy of the written recommendation should be given to the candidate at least one week prior to its submission to the Dean of the Faculty.

B. THE AD HOC COMMITTEE

If a candidate has been recommended for consideration for tenurability by the Department and consideration approved by the Dean of the Faculty, the Faculty Review Board, and the President, the Dean of the Faculty will appoint an ad hoc committee in consultation with the chair of the Faculty Review Board and the Deans of Arts and Sciences and Engineering, to examine the record of such candidate for tenurability and to report its findings, with a recommendation for or against, to the Faculty Review Board. When necessity dictates, considerations such as the staffing needs of a faculty member's department and the financial implications of a positive recommendation on tenurability may be taken into account by the Dean of the Faculty and the Faculty Review Board before a recommendation is made to the President that a tenurability review is to take place.

1. Constitution of the Ad Hoc Committee

The ad hoc committee will normally consist of one member of the candidate's Department, one member of the Division but not the Department, one member of the Center from the other division, and one member from the other Center. The candidate may strike from the list of eligible faculty members the names of faculty that he or she would prefer not to have serve on his or her committee, but normally no more than one-third of the names in any category may be struck. At least three names must remain in every category. In circumstances in which the candidate considers it important to depart from these rules and wishes to strike more names than are allowed, or in the case of departments in which the list contains three or fewer names and the candidate wishes to strike names, a conference must be held with the Dean of the Faculty and the Chair or other senior members of the Faculty Review Board to determine the final composition of the list of faculty eligible to serve on the ad hoc committee. In no instance may all the names in any category be eliminated. If it appears desirable to the Chairman of the ad hoc committee and approved by the Dean of the Faculty, an outside professional shall also be included as a member of the ad hoc committee.

2. Procedures of the Ad Hoc Committee

A file shall be kept of all materials received or generated or utilized by the ad hoc committee in its deliberations. Prior to the submission of the Committee's report to the FRB, a list of all the materials in this file must be submitted to the Chair of the FRB, who shall review this list to ascertain whether the file is complete. Upon submission of the report to the FRB, all the materials in the file will also be sent to the FRB. At this time, the list of these materials will be given to the candidate together with the procedures used by the ad
ad hoc committee in obtaining the information submitted to the FRB. Confidential documents in the file shall be identified only as to their nature (e.g., "letter from referee"). The candidate will be given three days to respond in writing to the procedures used by the ad hoc committee.

The ad hoc committee shall give to the candidate in advance of its second meeting with him or her a written list of questions regarding any important perceived deficiencies in the candidate's record which have been found in the course of the ad hoc committee's review. The candidate will be given the opportunity to respond in writing to these questions before the second interview, or orally at the interview itself.

If, after the submission to the FRB of the ad hoc report, additional information is sought by the ad hoc committee at the request of the FRB or of the Dean of the Faculty, such materials shall be added to the file provided by the ad hoc committee: the candidate shall be given the revised list of materials in his or her file, and the candidate will be given an appropriate opportunity to respond to any additional perceived deficiencies other than those originally presented to the candidate by the ad hoc committee.

The chair of the ad hoc committee is responsible for preparing a report on the candidate and presenting a favorable or unfavorable recommendation to the Faculty Review Board (FRB). (Only senior members of the FRB, the relevant Deans and the Affirmative Action Officer are eligible to participate in deliberations concerning determination of tenurability.) This written report is duplicated and submitted to senior members of the Faculty Review Board, to the Deans, to the Affirmative Action Officer, and to the President several days before the Faculty Review Board first meets to consider the candidacy. At that meeting, the ad hoc committee will appear for about one hour to answer questions, if any, about the written report and the recommendation of the ad hoc committee. Every effort should be made to explain any ambiguities in the report that might influence a determination on the candidate's tenurability. The President may choose to participate in this meeting but not in meetings in which a determination is made.

3. Revised Charge to Ad Hoc Tenure Committees (revised spring 1991)

In your deliberations, there are no rigid formulae to govern your recommendations on tenurability, but there are general guiding standards. The quality of the candidate's teaching, scholarship, and service to the College (as outlined below) are major considerations, of which the first two are of paramount importance. The candidate should be judged by the prevailing College-wide standards. Accordingly, the candidate's qualifications in teaching and scholarship should normally be excellent in one of the categories and very good in the other. The candidate is expected to have been actively involved in areas of college service.
Keep in mind that tenure is not a right which normally accrues to those who have avoided serious problems during their time at the College; it involves a major financial investment and a long-term academic commitment, and should, therefore, be granted only when both achievement and promise are demonstrable.

An ad hoc committee of the Faculty Review Board is expected to investigate, evaluate, and report; it is not to act as the candidate's advocate. The report to the Faculty Review Board should reflect the proceedings; it should not be written retrogressively from the final recommendation to the evidence (in fact all but the conclusion should be written before taking a final vote as to the Committee's recommendation). The report should state both the strengths and the weaknesses of the candidate.

The principal concerns in these deliberations should be the following:
- The candidate's competence, effectiveness, and dedication as a teacher.
- The candidate's quality of mind as indicated by scholarly performance and the candidate's promise of continued professional involvement, commitment, and achievement.
- The quality of the candidate's contributions to the College in areas of service, leadership, and initiative.

The following procedures are recommended:

a. Evaluation of Teaching

1) Colleagues who have visited the candidate's classes or team taught with the candidate should be interviewed. Librarians' instructional functions include the selection, organization, and dissemination of information in whatever form. Interviews should be sought with library colleagues, teaching faculty, and other library users. Course materials such as syllabi and examinations should be reviewed.

2) Written materials describing innovative and/or especially effective approaches to teaching may be submitted by the candidate for evaluation.

3) A notice should be placed in the campus newspaper, the Chronicle, and alumni publications stating that an ad hoc tenure committee has been convened and that it invites student, alumni and faculty response.

4) From class lists obtained from the Registrar and, where appropriate, from lab rosters obtained from the candidate's department, the committee should select in a random selection process (see Appendix I) a group of students. The candidate should not supply the selection list. The committee should then solicit letters from the
students selected and interview the students individually, either in full session or through members delegated for that purpose, using a uniform interview procedure. The opinions of recent alumni should also be sought. Their names should be chosen as they arise in a random selection process. Appendices II and III contain a suggested form for a letter to be sent to students and alumni inviting them to offer their evaluation and providing some guidance in writing a letter that would be helpful to the committee's deliberations.

5) The candidate's evaluation in student and departmental polls should be considered.

b. Evaluation of Scholarship

1) The candidate's scholarly writing and/or creative works, published and unpublished, including the Ph.D. dissertation, should be submitted to and read by the committee; even if the scholarship is outside of an individual committee member's discipline, each member should be aware of its nature.

2) All the candidate's published materials, and whatever unpublished work the candidate wishes, will be evaluated. This may include artistic work, equipment construction, library projects, or other work appropriated to the candidate's field.

3) The material to be evaluated, referred to above, must be sent out for evaluation by three outside referees with whom neither the candidate nor the department head nor any member of the ad hoc committee has close personal ties. The ad hoc committee should present to the candidate a list of about 10 names of potential referees for the scholarly work. The candidate may comment, in writing, on the suitability of any of the referees for evaluating the work and may suggest that some names be eliminated from the list. Reasons for their unsuitability must be given and may include, for example, that the person is not in the area of the candidate's scholarship, or that the person may be a hostile referee because of extreme ideological, theoretical or philosophical differences with the candidate's work. The candidate must inform the ad hoc committee about the nature of personal or professional relationships between the candidate and any of the potential referees. The ad hoc committee has the final authority to select the referees. The candidate's comments on the list of potential referees must be part of the ad hoc committee's report. The suggested letter to referees should also contain a request for similar information about the nature of personal or professional ties. A suggested letter to be sent to referees may be found in Appendix IV.
4) The ad hoc committee should obtain testimony pertaining to the candidate's scholarship from any Union faculty member whose field is closely allied to the candidate's and in addition must interview any faculty member who wishes to volunteer such testimony.

c. Evaluation of College Service

1) The committee should evaluate the contributions to the college community listed on the candidate's resume by obtaining testimony from members of the college community with whom the candidate has worked. This should at least include chairpersons of committees on which the candidate has served and may also include faculty, staff, or students who have primary responsibilities in areas such as admissions, advising, freshman orientation, budgeting, curriculum planning, or the computer center.

2) The committee should question the candidate about additional areas of college service not listed on the resume and should evaluate these in the same manner.

3) The committee should seek from the candidate information about such community activities that may be of value to the college.

d. General Information on the Ad Hoc Report

1) The ad hoc committee's report must include the candidate's full curriculum vitae.

2) The ad hoc committee should interview the candidate near the beginning of its evaluation process and at the end of the information-gathering stage. The ad hoc committee is expected to ask the candidate those questions which may significantly affect their recommendations to the FRB. The purpose of these questions is to provide the candidate with a reasonable opportunity to respond to criticisms which may have emerged in the ad hoc committee's deliberations. The candidate has three calendar days to respond in writing to issues raised in this interview. The ad hoc committee should make every effort to interview all faculty in the candidate's department. The ad hoc committee should solicit from the department chairperson, in writing, an evaluation of how the candidate fits current and future needs of the department.

3) Theses done under the supervision of the candidate may, at the discretion of the candidate, be submitted as evidence of teaching or scholarship.
4) In the case of candidates from the Department of the Arts, compositions, concerts, exhibitions, or productions may constitute part of or the whole of a candidate's scholarship.

5) The report of the committee should include a well-delincated section on methods and procedures of the ad hoc committee. The section should clearly describe the procedures without compromising confidentiality. The section will be detached from the report and given to the candidate to review. The candidate has three calendar days to respond in writing to the procedure statement. The ad hoc committee delivers its report to the Faculty Review Board at this time. Any response by the candidate to the statement of procedures is given to the Chair of the Faculty Review Board, not the ad hoc committee. If the candidate objects to any of the procedures, the FRB will decide whether it considers it necessary to return the report to the ad hoc committee for any necessary corrections before it hears the presentation of the ad hoc committee.

The report of the ad hoc committee should include a table of contents with a detailed listing of the appendices to the report and each page of the report should be numbered.


At a later meeting or meetings to be held normally no less than three days after a meeting with the ad hoc committee, the Faculty Review Board and the Dean of the Faculty make determinations which constitute recommendations to the President as to whether the candidate should be granted or denied the status of tenurability. The FRB and the Dean of the Faculty shall judge a candidate by the appropriate then-current College standards regarding teaching, scholarship, and College service. Their review shall consist of a review of the candidate's ad hoc committee report and the above-mentioned meeting with the ad hoc committee. The FRB and the Dean of the Faculty may consider any other information and reports the ad hoc committee reviewed.

The FRB and the Dean of the Faculty also have the authority to request outside review of a candidate's scholarly work as well as any other information it deems relevant, using procedures for obtaining information consistent with those required of the ad hoc committee. If any additional materials are sought or received by the FRB or by the Dean of the Faculty, such information shall be shared with both the FRB and the Dean so that the final determination made by the FRB and the Dean shall be based on the same body of information. Before the FRB and the Dean of the Faculty reach their final determination in the case, such materials shall be added to the file provided by the ad hoc committee, and the candidate shall be given the revised list of materials in his or her file. The candidate shall be given an appropriate opportunity to respond to any perceived
deficiencies, other than those already presented to the candidate by the ad hoc committee, that are raised by these materials.

If the FRB and the Dean of the Faculty make a positive determination concerning a candidate’s tenurability, the Dean of the Faculty shall convey the positive recommendations to the President and the FRB shall convey findings in writing to the candidate.

If the FRB and the Dean of the Faculty make a negative determination concerning a candidate’s tenurability, the FRB’s negative determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty. The Dean shall then meet with the candidate to convey the FRB’s written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

If the FRB makes a negative determination concerning a candidate’s tenurability and the Dean does not concur with the determination, the Dean shall refrain from communicating her/his determination to the President until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed. The FRB’s negative determination and the reasons for it shall be conveyed in writing by the Chair of the FRB to the Dean of the Faculty. The Dean shall then meet with the candidate to convey the FRB’s written statement of its determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

In the event of a positive determination by the FRB followed by a negative determination by the Dean of the Faculty, the Dean shall meet with the candidate to convey the Dean’s statement, written in consultation with the FRB, of her/his determination (and the reasons for it) and to inform the candidate of the opportunities for reconsideration and appeal.

In all cases the President shall make a decision on whether the candidate should be granted or denied the status of tenurable. In the case of a negative determination by the FRB or the Dean of the Faculty, the President shall make no negative decision until any process of reconsideration and/or appeal has been completed or until the time for requesting either has passed. In all cases in which the President makes a positive decision, the President shall convey such decisions to the Board of Trustees. The Board’s approval of tenurability status and either a tenure appointment or a renewable non-tenure contract based on tenurability status shall be reconfirmed in writing by the Dean of the Faculty or the President and made part of the records of the College.

If the FRB or the Dean of the Faculty makes a negative determination concerning a candidate’s tenurability, and if the candidate in timely fashion decides to seek reconsideration by the FRB, and/or if the candidate in timely fashion files an appeal with the Faculty Appeals Committee (FAC), or if for any other reason the President does not make a decision on the case before the expiration of the
existing contract, then the Dean of the Faculty at a time subsequent to the negative determination by the FRB or the Dean of the Faculty, but before the expiration of the candidate’s contract, will give notice of termination to the candidate, and will offer the candidate a terminal one-year contract.

This notice will constitute legal notice of termination, but will not prejudice any reconsideration of the case by the FRB, any consideration of the case by the FAC, or any further consideration of the case pursuant to a recommendation to the president by the FAC, or any final decision in the case by the President.

Should the President, subsequent to such notice, make a positive decision on the case, and should his recommendation for tenurability be approved by the Board of Trustees, the candidate will be offered a new contract superseding the terminal contract offered by the Dean of the Faculty.

IV. UNION COLLEGE TENURE PLAN (originally adopted June 15, 1973)

A. PERSONS WITH FEWER THAN SEVEN (7) YEARS OF SERVICE AS TENURE-TRACK MEMBERS OF THE FACULTY OF UNION COLLEGE

1. If a faculty member is determined to be tenurable and a tenure appointment is available for him or her in accordance with the Procedure for Determination of the Number of Additional Tenured Appointments, the Faculty Review Board will, subject to Part C, paragraph 1 below, recommend to the President that the Board of Trustees offer the person such tenured appointment.

2. If a faculty member is determined to be tenurable but no tenured appointment is available for him or her, the Faculty Review Board will recommend to the President that the Board offer the person a non-tenured appointment for no fewer than three (3) nor more than five (5) years. Such an appointment is renewable and maintains a faculty member's status as "tenurable."

B. PERSONS WITH SEVEN (7) OR MORE YEARS OF SERVICE AS TENURE-TRACK MEMBERS OF THE FACULTY OF THE COLLEGE

1. If at any time during the non-tenured appointment of a faculty member with seven or more years of service, a tenured appointment (for which the person's tenurability may be determined in accordance with the Procedure for a Decision on Tenurability) becomes available in accordance with the Procedure for Determination of the Number of Additional Tenure Appointments, the tenurability of the person will be so determined forthwith; and if such determination is that the person continues to be tenurable, the Faculty Review Board will, subject to Part C, Paragraph 1 below, recommend to the President that the Board offer the person such tenured appointment.

2. Whenever, during any non-tenured appointment of any such person,
a. curricular and budgetary justification of such appointment's extension shall have been determined in accordance with the Procedure for Determination of the Number of Additional Tenured Appointments and

b. the Faculty Review Board shall have concluded (in accordance with the Procedure for a Decision on Tenurability that the person continues to be tenurable, the Faculty Review Board will recommend to the President that the Board extend the person's non-tenured appointment for no fewer than three (3) nor more than five (5) years.

3. At any time during any non-tenured appointment of any such person, the Faculty Review Board may require that the continuing tenurability of the person may be determined in accordance with the Eligibility Procedure. Also, upon request of the President, such a determination will be made in the case of any person as to whom no such determination has been made within the last six (6) years. In either event, if the person is so determined not to be tenurable, the President or Dean of the Faculty will, at least two (2) years before expiration of the person's appointment, notify the person in writing that his or her appointment is terminal; and if such notice of at least two (2) years is not given, the person will be offered a terminal appointment extending his or her non-tenured appointment for whatever period is required to provide such notice. The President may, at his or her discretion, reduce by one (1) year any appointment made terminal in accordance with this paragraph by paying in advance the salary which the person holding such appointment would have earned during such year.

C. GENERAL PROVISIONS

1. If two (2) or more persons are determined to be tenurable for the same tenured appointment to be made in the same year, the Faculty Review Board shall, as part of its recommendation to the President in accordance with Part A, Paragraph 2 or Part B, Paragraph 1, as the case may be, specify which person should receive the tenured appointment.

2. During any period of three (3) years measured from September 1 of any year beginning with 1973, the tenured members of the Faculty of the College shall average no less than one-third (1/3) of the entire Faculty; but if during any such period the number of persons with more than seven (7) years of service as members of the Faculty shall average less than one-third (1/3) of the entire Faculty, all such persons shall hold tenured appointments.

3. Any member of the Faculty with the rank of Professor or Associate Professor may hold a tenured or non-tenured appointment without regard to such rank.

4. The provisions of the Faculty Manual specifying the terms and procedures for Sabbatical Leaves (see p. 27 below) shall apply to every member of the Faculty, whether he or she shall hold a tenured or non-tenured appointment.
5. Nothing in this Proposal shall affect the tenure of any member of the faculty holding a tenured appointment on the date of adoption of the Proposal or qualify the provisions of the Faculty Manual regarding Academic Freedom (see p. 32 below).

D. PROCEDURE FOR DETERMINATION OF THE NUMBER OF ADDITIONAL TENURED APPOINTMENTS
(Adopted by the Board of Trustees, June 9, 1972)

Once each calendar year in accordance with the following procedure and by a date not later than June 15, an estimate shall be made and announced of the number of additional tenured appointments to the Faculty and their distribution, to be authorized over the period of the three (3) successive academic years beginning with the second academic year next following the date when such estimate shall be announced:

1. For each Department in consultation with the Chair thereof and the Dean of Arts and Sciences or the Dean of Engineering, the Dean of the Faculty shall prepare and submit to the President a report on the Department’s needs and expectations respecting Faculty members over the said period.

2. Thereafter the matter shall be considered jointly by the President and a Consultation Committee constituted each year for such purpose and consisting of the following members: the Dean of the Faculty; from each of the following Faculty Committees, one member designated by the President in consultation with the Chair of the Committee: (a) Planning and Priorities, (b) Academic Affairs Council, and © Faculty Review Board; the Dean of Arts and Sciences and the Dean of Engineering; and the chair of each Division, if not otherwise a member of such Consultation Committee.

3. Following such consideration, the President shall prepare and submit to the Board of Trustees recommendations regarding such estimate, including all contrary recommendations, if any, made in writing with supporting argument by any member of the Consultation Committee.

4. The Board of Trustees shall review such recommendations of the President and all such contrary recommendations, if any; and such review may include conferences with the Consultation Committee.

5. Upon completion of its review, the Board of Trustees shall by vote adopt a resolution which (a) shall set forth its estimate of the number and distribution of additional tenured appointments to the faculty, to be authorized over the said period, but (b) shall describe such estimate as a projection dependent upon information available to the Board at the time of its vote, and not as any commitment to authorize any such appointment.
6. A copy of such resolution shall be promptly transmitted by the Secretary of the Board of Trustees to the Faculty Review Board; and every decision by such committee to recommend to the President any additional tenured appointment to the Faculty shall be consistent with the estimate set forth in the resolution then most recently adopted by the Board of Trustees.

V. RECONSIDERATION AND APPEALS OF NEGATIVE DETERMINATIONS ON PRE-TENURABLE CONTRACT RENEWALS AND TENURABILITY (1999/2000)

A. PROCEDURE FOR RECONSIDERATION

A faculty member may request that a determination of the Faculty Review Board (FRB) be reconsidered by the FRB on the basis of a review of procedure or a claim that information relevant to the determination was not considered by the ad hoc committee, the Reappointment Review committee, or the FRB. The request for reconsideration, together with supporting documentation, shall be directed to the Dean of the Faculty who will transmit it to the FRB. The FRB may reconsider the case upon review of the information submitted by the candidate to the FRB. All requests for reconsideration and supporting documentation concerning negative contract renewal and tenurability determinations by the FRB must be initiated within fifteen (15) days of the candidate’s notification of a negative determination.

A faculty member may request that a negative determination of the Dean of the Faculty following a positive recommendation by the FRB be reconsidered by the Dean of the Faculty on the basis of a review of procedure or a claim that information relevant to the determination was not considered by the ad hoc committee, the reappointment review committee, or the Dean of the Faculty. The request for reconsideration, together with supporting documentation, shall be directed to the Dean of the Faculty. The Dean of the Faculty may reconsider the case upon review of the information submitted by the candidate to the Dean of the Faculty. All requests for reconsideration and supporting documentation must be initiated within fifteen (15) days of the candidate’s notification of a negative determination.

B. FACULTY APPEALS COMMITTEE: PROCEDURE

A faculty member may request the Faculty Appeals Committee (FAC) to review a negative determination of the FRB, or a negative determination by the Dean of the Faculty following a positive recommendation by the FRB by submitting a petition to the chair of the FAC. The grounds for an appeal is lack of “adequate consideration” by the FRB or by the Dean of the Faculty, as defined below.

Such a petition must be initiated within ten (10) days of the candidate’s notification from the Dean of the Faculty of a negative determination by the FRB or the Dean of the Faculty, together with the reasons for that determination, unless the
candidate decides to ask the FRB or the Dean of the Faculty for a reconsideration.

If the candidate files a request for reconsideration, a petition to the FAC must be initiated within ten (10) days of 1) notification to the candidate by the Dean of the Faculty that the FRB has decided not to grant the request for reconsideration, together with the reasons for that decision; or 2) notification from the Dean of the Faculty that the FRB, upon reconsideration of the case, has rendered a negative determination, together with the reasons for that determination.

When the petition is received, the faculty member will be informed of the membership of the FAC (and their alternates) who will consider the petition. In the event the faculty member believes that there are valid reasons to replace a FAC member (a maximum of two members may be challenged), a written request to appoint the alternate(s) (setting forth the reasons) shall be made to the Chair of the FAC within five (5) working days of the receipt of the list. The Chair of the FAC at his/her discretion, is empowered to grant or deny the request(s).

In the event that the faculty member believes that there are valid reasons to replace the chair, any written request to appoint the alternate (setting forth reasons) shall be made (in the manner indicated above) to the person serving as the chair's alternate. The chair's alternate shall then convene a meeting which the members of the FAC other than the chair shall also attend. If two or more of the four regular members vote to grant the request, then it shall be granted.

In the case that the faculty member challenges both the chair and another member of the FAC, a written request to do so (setting forth reasons) shall be made (in the manner indicated above) to the person serving as the Chair's alternate. The Chair's alternate will first grant or deny the request regarding the challenged FAC member who is not the chair. When it has then been determined which four members other than the chair will sit on the appeal, these will then be convened by the chair's alternate to determine who shall serve as chair, according to the procedure set forth above.

After it has been determined who shall sit on the appeal, the FAC will notify the appellant of the membership, and of the appellant's right to submit any information he or she wishes to submit in support of the petition.

The FAC may at any time request any information from the appellant it deems relevant to the appeal. The FAC may set reasonable deadlines for the submission of all materials it requests from the appellant.

The function of the FAC in dealing with a petition is to decide whether the determination of the FRB or the Dean of the Faculty was the result of "adequate consideration" as defined below. In reaching this determination, the FAC will not substitute its judgment on the merits of the case for that of the FRB or the Dean of the Faculty.
If, during the course of the FAC's deliberations, questions arise concerning the interpretation of procedures as laid out in the Faculty Manual, the FAC should consult the Vice President for Academic Affairs and the Chair of the Faculty Executive Committee. (May 2000)

The FAC shall normally interview the chair of the FRB and, at its discretion, any other member of the FRB. The FAC may, at its discretion, interview any other participant in the process. It shall have the right, at its discretion, to examine any materials reviewed by any participant in the process, and, with the permission of the Dean of the Faculty or the President, any other information deemed relevant to its investigations.

At the conclusion of the FAC's review (normally no more than six weeks after the candidate has been notified who is to serve on his or her appeal to the FAC), the FAC will submit to the President its findings and a determination either:
- That the determination of the FRB or the Dean of the Faculty was based on "adequate consideration," or
- That the determination of the FRB or the Dean of the Faculty was not based on "adequate consideration."

1. If the FAC determines that the decision was based on adequate consideration, the President shall notify the appellant of this determination, concurrently provide the appellant with a summary of the FAC's findings, and give the appellant the opportunity to submit to the President within ten (10) days of such notification a written response to the determination of the FRB and the findings of the FAC. After receipt of this response, or after expiration of ten (10) days if no response is made, the President will then make a final decision on the case.

   a. If the President accepts the FRB's negative determination on the case, the President shall notify the candidate and shall convey his decision to the Board of Trustees.

   b. If, in a reappointment review, the President decides that a candidate should be granted a pre-tenurable contract renewal, he shall convey his decision to the Board of Trustees.

   c. If, in a tenurability review, the President decides that a candidate should be granted the status of tenurable, he shall convey his decision to the Board of Trustees, whose approval of tenurability status shall be confirmed in writing by the Dean of the Faculty or the President, and made part of the records of the College.

2. If the FAC decides that the FRB or the Dean of the Faculty's determination was not based on "adequate consideration," it will include in its report to the President the respects in which it believes there was not "adequate consideration," and it will submit to the President a recommendation or set of
recommendations for further consideration of the case before the President makes a final decision. (In no instance shall the FAC substitute its judgment for that of the FRB or the Dean of the Faculty on the merits of a case in making a recommendation or recommendations.)

The President will notify the candidate of any recommendation(s) of the FAC for further action, and the candidate will be given ten (10) days to respond to these recommendations. After receipt of such a response, or after the expiration of ten (10) days if no response is made, the President will notify the candidate of his or her decision to accept, reject, or modify the recommendation(s) of the FAC, and what further action, if any, will take place. The recommendation(s) of the FAC will be advisory to the President and not binding on him or her.

If, subsequently, further consideration of the merits of the case takes place by the FRB or by any other body before a final decision is made by the President, and if another negative determination is made by the FRB, or by another body, reasons for this determination shall be given to the candidate in writing, and the candidate shall have ten (10) days to respond to these reasons in writing before the President makes a final decision in the case.

a. If the President makes a negative decision on the case, the President shall notify the candidate and shall convey his decision to the Board of Trustees.

b. If, in the case of a reappointment review, the President decides that a candidate should be granted a pre-tenurable contract renewal, he shall convey his decision to the Board of Trustees.

c. If, in the case of a tenurability review, the President decides that a candidate should be granted the status of tenurable, he shall convey his decision to the Board of Trustees, whose approval of tenurability status shall be confirmed in writing by the Dean of the Faculty or the President, and made part of the records of the College.

"Adequate consideration" is to be interpreted as procedural in nature and requires the FAC to ask the following questions:
- Were the normal procedures conscientiously followed in the case?
- Was the decision arrived at by application of the appropriate then-current College standards?
- Was all the pertinent information bearing on the performance of the candidate available to the FRB, and was there a conscientious attempt by the FRB to examine it?
- Was the decision a bona fide exercise of professional academic judgment?

The FAC may also consider any other procedural matter it deems relevant to the case under the circumstances.
VI. PROCEDURES FOR THE REVIEW OF VISITING FACULTY AND LECTURERS  
(effective November 15, 1991)

A. PURPOSE FOR THE REVIEW

The Faculty Review Board believes that it is the responsibility of the College and the Faculty to encourage excellence regardless of the rank or possible tenure status of a faculty member. All faculty members who enjoy continued employment at the College should be periodically reviewed in order to meet our obligations to the students as well as to assist the professional development of the faculty member being reviewed. Systematic and formal communication regarding a faculty member's teaching, college service, and scholarship are necessary in order that faculty development can take place.

B. REVIEW PROCEDURES

1. Review of Visiting Faculty

All visiting faculty who have an appointment to a second year will receive the same developmental review that is given to tenure-track faculty at the end of the first year at the College. This review will consist of a report by the Chair of the Department to the Dean of the Faculty. The faculty member will receive a copy. The review will consist of

- An examination of the Course Evaluation Forms including a summary and analysis of student comments and numerical data.
- A discussion of syllabi, assignments, and other teaching material.
- A report on any classroom visits made by the chair.
- A review of any information provided by the faculty member on his or her research.

Any visiting faculty member who is a candidate for a contract that extends his or her appointment beyond a third year at Union will have a formal review of his or her performance since the beginning of his or her initial contract. The review should be completed by the chair and submitted to the FRB. It should include

- Interviews with all full-time department faculty.
- An examination of the Course Evaluation Forms including a summary and analysis of student comments and numerical data, an examination of course materials and a report on any classroom visits.
- A review of written work and evaluation of scholarship potential.
- Evaluation of departmental service.
- Evaluation of the faculty member's ability to fulfill departmental needs.

The candidate must receive a copy of the final report (without any confidential material) at least one week before it is submitted to the FRB. The candidate then has the option to attach written comments to the final report which will be forwarded to the FRB.
The FRB will consider and evaluate the candidate in terms of existing college-wide standards. The comments of the FRB will be given to the Department Chair, the Dean of the Faculty, and the Candidate. The FRB will not recommend for or against the appointment.

Visiting faculty are not eligible for tenure and therefore should not be held to the same evaluation procedures that apply to those undergoing a tenure review. However, some visiting faculty later succeed in achieving a tenure-track position, or continue at Union for up to five years. Consequently, they should be encouraged to meet college-wide standards not only in teaching, but also in scholarship and service.

If the need to appoint a visitor beyond the third year arises unexpectedly, and a formal review has not previously taken place, it must be undertaken according to the procedures designated above before the appointment is made.

If a visiting faculty member applies for another position within the College for which a search has been undertaken and a formal review has not previously taken place, the material specified in the review procedures for contracts extending beyond the third year will be collected by the department chair and made available to the search committee, the members of the department, and the Dean of the Faculty prior to consideration of the candidate.

2. Review of Lecturers

Appointments for the position of Lecturer that are made subsequent to the initial contract require a clear demonstration of teaching excellence. A review of a lecturer is required before any contract subsequent to the initial contract can be offered, and will consist of a report by the Chair of the Department to the Dean of the Faculty. The review will consist of

- An examination of the Course Evaluation Forms including a summary and analysis of students’ comments and numerical data, as well as any other available information on teaching.
- An evaluation of departmental service.
- An evaluation of the faculty member's ability to fulfill departmental needs.

VII. PROFESSIONAL LIBRARIAN APPOINTMENTS (effective May 14, 1993)

The 1992-93 review of librarians' status at Union College resulted in substantive changes to then-current policies regarding librarian status. The status of then-current senior (tenured and tenurable) library faculty and junior library faculty who elected to continue in the tenure-track system remains the same as it had been prior to this review. However, the status of librarians holding administrative contracts, those junior faculty who elected to become part of the new system, and all newly hired-
librarians is changed to conform with policies and procedures developed as a result of this review. These changes were effective May 14, 1993.

All librarians, both those who elected to continue in the tenure-track system and those governed by the new professional librarian system are members of the General Faculty as described in the May 1991 Union College Faculty Manual, including subsequent amendments to that document. However, those librarians who are covered by the new policies and procedures are considered members of the General Faculty without tenure-track status. They retain faculty voting privileges; eligibility for appointment to committees except those related to review of tenure-track faculty; opportunity for paid professional development leaves; access to travel, research, and development funds; and access to appropriate existing campus grievance procedures. Vacation, health, retirement, insurance and other benefits will be the same as for tenure-track library faculty. Annual consideration for merit and salary increases will be the same as for the College's administrative staff. In place of tenure-track status will be renewable contracts of employment, promotion evaluation procedures/criteria and discharge procedures which have been designed and implemented to meet the specific goals of professional library service. (See Appendix V to this document for details regarding much of the above.)

Union College professional librarians are expected to hold a graduate library degree or other appropriate professional credential. They are appointed by the Dean of the Faculty and are responsible to the Director of Schaffer Library who in turn reports to the Dean. Librarian ranks for those covered by the revised system are Assistant Librarian I, Assistant Librarian II, Associate Librarian, and Librarian. As described in Appendix V of the Faculty Manual, the personnel system for those with professional librarian appointments includes specification of criteria procedures and other provisions related to initial appointments, renewal of appointments, promotion, and merit reviews. Although criteria, procedures and other provisions differ from those governing librarians with faculty appointments, they are designed to constitute a personnel system parallel to that relating to those with faculty appointments.

All who have professional librarian appointments are entitled to academic freedom in the performance of their duties, including full freedom in research and in the publication of the results, subject to the adequate performance of other duties. In instructing students, those with professional librarian appointments are entitled to freedom of discussion but should be careful not to introduce into instruction controversial matter which has no relation to the subject of instruction or which creates an intimidating, hostile, or demeaning educational environment. When speaking or writing as a citizen, those with professional librarian appointments should be free from institutional censorship or discipline, but the association with the College imposes special obligations. It should be remembered that the public may judge the faculty and the institution by the utterances of its members.

The College may terminate professional librarian appointments "for cause." As used in this document, "for cause" means:
- A librarian's "failure or refusal to perform" substantially all the duties required of
  him/her as established by the annual work plan and its related guidelines;
- A librarian's inability, due to mental or physical incapacity, to perform his or her
  essential job duties; or
- A librarian's "breach" of a term or condition of the policies and/or guidelines for
  the professional librarian.

In case of potential termination, the Director of Schaffer Library would confer with
the librarian whose performance is in question, the immediate supervisor, and the
Dean of the Faculty. The librarian would be notified in writing of his/her perform-
ance problem or problems and given specific directions for improving the alleged
performance deficiency or deficiencies or for correcting the alleged breach. If after 30
days from written notification the librarian has not corrected the problem to the D-
irector's satisfaction, the College may terminate the librarian "for cause."

VIII. LEAVES

A. SABBATICAL LEAVES (effective November 1992)

Faculty members holding tenure-track appointments are eligible to apply for a
sabbatical leave. The primary purpose of a sabbatical is to improve the faculty
member's competence as a teacher-scholar at Union by involvement in activities,
opportunities for which are normally unavailable in the regular teaching year.
The activity should be chosen to provide professional growth of the individual
such as by participating in a more advanced and broader scope of research;
developing one's capabilities in an allied or interdisciplinary area; or engaging in
a plan of study aimed at initiating a program of new research. Any teaching or
consulting to be done on sabbatical must be demonstrably part of the overall plan
of professional growth.

The application for sabbatical leave should provide (a) a full and clear explana-
tion of the plan of study during leave and (b) report on the arrangements made or
pending for the carrying out of that study. It should be reviewed and approved by
the chair of the applicant's department and then transmitted, with a letter indicat-
ing the chair's approval, to the Dean of the Faculty. The Faculty Review Board
examines the application and recommends for or against to the President who
transmits recommended applications to the Board of Trustees. Since the Board
must make its decision in time for a replacement, if one is needed to be engaged,
faculty members should submit their applications no later than January first
preceding the academic year in which the leave is to be taken.

Upon return from a sabbatical leave of absence, the faculty member is expected to
submit a report of activities during the sabbatical leave to the Dean of the Faculty
with whom it must be filed as part of the permanent dossier. Such a report must
be filed during the year immediately following the sabbatical. A faculty member
may not be considered for a sabbatical leave if the report for the previous sabbati-
cal has not been filed.
Although treatment of claims is reported to have lacked uniformity, Revenue Ruling No. 64-176 provides in general that the expenses of a teacher for sabbatical leave travel will be deductible as ordinary and necessary business expenses only if, and to the extent that, the travel is directly related to the duties of the teacher. Anyone planning travel for the purpose of sabbatical study should obtain a copy of the ruling and confer with a local Internal Revenue official in advance of filing a claim.

1. Tenure-track junior faculty

Junior faculty may apply for a half-year sabbatical with full pay or a full-year sabbatical at half pay. This sabbatical does not effect the first sabbatical as a tenurable faculty member which occurs in the seventh year after the completion of a successful tenurability review or, if the tenurability review occurs before the sixth year, after the seventh year of employment in a tenure-track position at the college. (Approved by the Board of Trustees January 13, 1993.)

In special circumstances, a junior faculty member may be able to combine one of the above sabbatical leaves with an unpaid leave of absence to enable participation in a year-long research program.

2. Regular tenurable and tenured faculty

Members of the faculty on permanent tenure or who hold a renewable non-tenure appointment (post-seven year contract) are entitled to apply in writing for a sabbatical leave equivalent to one-half of a normal load for the academic year on full salary or a full year on half salary, to be taken during their seventh year of teaching on the Union faculty and each seventh year thereafter. Alternatively, one may be eligible to apply for a one-third equivalent leave on full salary after four years of teaching following a tenurability decision or a previous sabbatical leave. Chairs of departments try to work out a rotating schedule of such sabbaticals, so that no department will be severely handicapped during any particular year by the absence of faculty members on sabbatical leave. Since the purpose of a sabbatical leave is to improve the faculty member's competence as a teacher-scholar at Union, the College expects that anyone granted sabbatical leave will return to teach here for at least one year after termination of the leave.

The College recognizes that, on occasion, circumstances may force a faculty member to change plans after they have been approved. In such situations the faculty member shall notify the Dean of the Faculty and obtain approval for the changed plans. The Dean may consult the FRB before approving such a change in plans.

Time spent on leaves of absence without salary normally does not count towards the six (or four in the alternate option outlined above) years of full-
time teaching required for sabbatical leave. A faculty member may not apply for a sabbatical leave immediately following a leave of absence. Exceptions to this policy must be approved by the Dean of the Faculty in consultation with the FRB.

B. LEAVES OF ABSENCE WITHOUT PAY

A faculty member may request through the Dean of the Faculty a leave of absence without pay for not more than one year to pursue research that will enhance professional development. In general, a faculty member should request such a leave before January 1 for the following academic year so that the College may review its personnel needs. If leave is granted, the College assumes that the faculty member will return to Union College the year following the leave unless the faculty member notifies the College to the contrary before February 1 of the academic year on leave.

A leave of absence without pay normally does not count towards establishing eligibility for a sabbatical. Consideration of salary increases while a faculty member is on leave depends upon the extent to which the leave enhances his service to the College. The College wishes to remind the faculty that the Flexible Benefit Program covers faculty on leave only when they are engaged in full-time study for an advanced degree or actively working in the field of education or pursuing research under a foundation or government grant. The Flexible Benefit Program may be continued, provided the individual pays the full cost. Reimbursement for the College's contribution portion will be made upon the resumption of teaching. The Core Benefit portion of the program will continue to be paid by the College. The College does not make any contribution to the pension plan while the faculty member is on leave. Faculty going on leave who have children in college and are receiving financial assistance from Union toward tuition costs elsewhere should inform the Dean of the Faculty's Office of their plans and, when they return to Union, apply retroactively for this fringe benefit for the year of the leave.

For those faculty on leave who remain in Schenectady, the College makes available office space, laboratory space, and other facilities (including services) so far as they are not needed for the normal operation of the College. Priority for such needs goes to faculty on active status. Requests should be forwarded by the Department Chairman to the Dean of the Faculty's Office.

C. LEAVES OF ABSENCE FOR WINNERS OF PRESTIGIOUS GRANTS

Faculty who win prestigious grants that contribute to their professional development and bring favorable notice to the College may apply to the Dean of the Faculty for the following benefits. The Dean will determine which grants are "prestigious grants" and make recommendations to the President.
1. Continuation of the College's contribution to the Flexible Benefit Program. (A faculty member would continue to be responsible for his or her share. If a faculty member were not to return to the College, he or she would be required to reimburse the College for its contribution.)

2. Payment to a faculty member of the amount that the College would otherwise contribute to The Union College Retirement Plan.

Finally, although the College recognizes the importance of such leaves, approval of such a requested leave of absence without pay is at the discretion of the Board of Trustees upon the recommendation of the President.

IX. OUTSIDE WORK

Since the fundamental obligation of a faculty member is to the College, and since the College regards its contract as one for full-time employment, faculty members should receive permission in writing from their department head before agreeing to extra employment of any nature. The department head must notify the Dean of the Faculty. This provision also covers employment on an "extra-load" basis whether at Union College or elsewhere.

Before a part-time position at Union College is offered to a member of the faculty of another college, the head of the appropriate Union College department must have written clearance from the appropriate department head or dean of the other college.

A. PAID CONSULTING AND RESEARCH (Approved by the Board of Trustees January 13, 1993)

The fundamental obligation of the faculty member is to the College and the College regards its contract as one for full-time employment. Recognizing the value of faculty services to the larger community and the value of "work in the field" to faculty members, the College allows faculty members to spend not more than the equivalent of one day's time of each working week during the teaching year in consultancies and research for which outside remuneration is received. Faculty members engaged in "outside work," as defined above, are required to comply with the following procedures and guidelines:

1. Faculty members must receive permission in writing from their department head and the Dean of the Faculty or his/her designate before agreeing (in writing or otherwise) to consulting work and shall disclose to the College the nature of the activity, the organization for whom the work will be performed, and estimated days during the year to be spent performing the work.

2. By August 31 each year, all faculty members who have performed outside consulting or research for remuneration must report to the Dean of the Faculty the number of days spent in such activity during the preceding academic year.
3. The College expects that outside work will be such that it will contribute to a faculty member's professional development.

4. Outside work can not in any way interfere with the full and punctual fulfillment of a faculty member's teaching responsibilities and other responsibilities to the College (such as advising and committee service).

5. The equipment, supplies, or facilities of the College are not to be used in activities related to a faculty member's consulting or research which results in private gain unless the following condition obtains: the College receives full market value for such use from the faculty member or an entity for whom a faculty member is consulting or doing research. (A faculty member must have the approval of the Dean of the Faculty before using equipment, supplies, or facilities in outside consulting or research. He or she must also clear with the Chief Financial Officer/Comptroller of the College any arrangement involving payments to the College or income to the faculty member.)

6. The College's name is not to be used other than to identify the consultant or researcher as an employee of the College.

7. Faculty members are required to report promptly for approval of the Dean of the Faculty or his/her designate all activities or situations that might conceivably involve a "conflict of interest" between outside consulting or research and faculty responsibilities to Union College.

A "conflict of interest" may take various forms but arises when any member of the faculty is in a position to influence the College's decisions in a way that could lead to personal gain by a faculty member or a faculty member's close relative(s), or give improper advantage to others to the College's detriment.

X. ACADEMIC FREEDOM AND TERMINATION OF FACULTY APPOINTMENTS

The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return (contract research) must have written approval of the President of the College.

The faculty member is entitled to freedom in the classroom in discussing a subject, but should be careful not to introduce into his/her teaching controversial matter which has no relation to the subject at hand or which creates an intimidating, hostile, or demeaning educational environment.

The college or university professor is a citizen, a member of a learned profession, and a member of the faculty of an educational institution. When speaking or writing as a citizen, a faculty member should be free from institutional censorship or discipline, but the association with the College imposes special obligations. As a scholar and a
member of the faculty, it should be remembered that the public may judge the profession and the institution by the utterances of its members.

The College may discharge a faculty member who is on permanent tenure on grounds of moral turpitude, teaching incompetence, mental or physical incapacity to perform his/her duties, or conviction of violation of the Feinburg Law of New York State for Communist affiliation. In cases of mental or physical incapacity to perform duties, the procedures to establish total disability as provided under faculty benefits will be followed. If, however, the incapacitated faculty member is unable, or refuses, to take advantage of this benefit, the College may be obliged to terminate employment with one year's salary in lieu of notice. Termination “for cause” of a continuous appointment, or the dismissal “for cause” of a professor previous to the expiration of a term appointment will, if possible, be considered by the Faculty Review Board, and the governing board of the institution. In all cases where the facts are in dispute, the accused professor will be informed in writing before the hearing of the charges and will have the opportunity to be heard in defense by all bodies that pass judgment upon the case. The presence of an advisor of the faculty member's own choosing, who may act as counsel, is permitted. There will be a full stenographic record of the hearing available to the parties concerned. In the hearing of the charges of incompetence, the testimony will include that of professors and other scholars, either from Union or from other institutions.

The discontinuance of the department or of the particular subjects taught by the faculty member or financing difficulties within the College may also oblige the institution to discontinue a member on permanent tenure.

Professors on continuous appointment who are dismissed for reasons not involving moral turpitude will receive their salaries for at least one year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

XI. FACULTY RESIGNATIONS

In the event that a faculty member decides to resign, the following procedures should be observed:

- **Resignation before May 1 to accept a position in the forthcoming academic year.**
  Unless a faculty member has been notified by December 15 that an appointment is terminal, the faculty member should not consider a position elsewhere without first informing the department head of an interest in another position. The College recognizes that a faculty member may well become aware of a teaching opportunity which represents a professional advancement which should be seriously considered, but it is a matter of courtesy to alert the department head to the possibility and to confer before accepting any firm offer. Acceptance of another position requires a release from an appointment at Union College and a formal letter of resignation addressed to the Dean of the Faculty who, after consultation with the President, will acknowledge the action taken.
Resignation after May 1 to accept a position in the forthcoming academic year. Colleges, including Union, have generally accepted the understanding that after May 1 a faculty member should honor the contract for a coming academic year unless an emergency makes an exception reasonable. If a faculty member is approached by an irresistible opportunity, the department head and the Dean of the Faculty should immediately be notified and the dean or head of the other institution or agency should be requested to confer with the Dean at Union before any further negotiations occur. This procedure prevents any misunderstanding which might prejudice the future appointments of the faculty member. Acceptance of another position requires a release from an appointment at Union College and a formal letter of resignation addressed to the Dean of the Faculty who, after consultation with the President, will acknowledge the action taken.

XII. SALARY INCREASES AND MERIT AWARDS

A. SALARY INCREASES

1. Procedures

a. Each faculty member submits an annual written report of professional activities over the past year to the Dean of the Faculty and to the department head. This report is made available to the Faculty Review Board.

b. Every faculty member is evaluated each year by the department chair. Each faculty member is evaluated on (1) the quality and effectiveness of teaching; (2) research, scholarly activities and publications; and (3) service, i.e., contributions to the department, the college and wider community.

1) In evaluating the quality of an individual’s teaching, the department head uses such criteria as
   - the department’s appraisals of the individual’s course standards, syllabi, examinations, written exercises;
   - classroom visits by senior faculty;
   - the students’ evaluations;
   - a written statement of goals and achievements by the instructor.

2) In evaluating the quality of research and scholarly activity, the department head shall use such criteria as
   - the distinction of the individual’s published and unpublished works;
   - the impact of research on teaching; and
   - evidence of increasing scholarly maturity.

3) In evaluating the collegial contribution of a faculty member, the department head shall consider, among other criteria
   - participation in seminars, colloquia and scholarly discussions;
– assistance given to colleagues in methodology, critiques, bibliographical recommendations, etc.;
– participation on college and departmental committees.

c. Procedures for evaluation of the faculty for salary increases are developed by the Dean of the Faculty and the Faculty Review Board. Copies of these procedures are available through the Dean's office or from the Chair of the Faculty Review Board.

B. MERIT AWARDS

1. Procedures for Annual Merit

a. The department head prepares written evaluation or recommendation.

b. A copy of this is submitted to the faculty member in question at least seven days prior to submission to the FRB.

c. The department head and faculty members then discuss the contents of the recommendation or evaluation. Upon request, all of the background materials used in arriving at the evaluation or recommendation will be made available to the faculty member.

d. If they are unable to agree on the recommendation, the faculty member may prepare a written statement, together with any appropriate supporting documents, setting forth the disagreement with respect to the evaluation or recommendation. That statement is submitted to the department head.

e. The department head's and the faculty member's respective reports and statements are forwarded to the Chair of the FRB and the Dean of the Faculty.

f. The faculty activity report and the recommendations of the department chairs will be brought before the FRB for consideration for a recommendation for merit awards.

g. The FRB will submit its recommendations for annual merit increases to the Dean of the Faculty, but the final decision about and responsibility for merit awards rests with the Dean of the Faculty.

2. Procedures for Triennial Merit

a. One third of the faculty will be evaluated each year for triennial merit. The group of faculty evaluated will be determined by random assignment to a group that ensures the number of faculty in each group is the same.
b. The Chairs of the departments will review the annual merit evaluations for the previous three years and write a triennial merit evaluation.

c. The department chair and the faculty member will discuss the contents of the recommendation. Upon request, all of the background material used in arriving at the evaluation or recommendation will be made available to the faculty member.

d. If they are unable to agree on the recommendation, the faculty member may prepare a written statement, together with any appropriate supporting documents, setting forth the disagreement with respect to the evaluation or recommendation. That statement is submitted to the department head.

e. The department head's and the faculty member's respective reports and statements are forwarded to the chair of the FRB and the Dean of the Faculty.

f. The FRB will consider the chairs' merit recommendations and submit its recommendations to the Dean of the Faculty. The final decision about and responsibility for the triennial merit awards rests with the Dean of the Faculty.

XIII. CONTRACT RENEWALS

Renewal contracts following positive Presidential decisions in reappointment reviews normally shall be for three years unless financial exigency or the necessity to eliminate the teaching position in question arises. In these cases the contract will terminate at the end of either the first or second year, provided only that notification of termination be given to the incumbent no later than March 1st of the first academic year of service at Union or December 15th of the second academic year of service (or, if the appointment expires within the academic year, not later than six months before the date of expiration), or not later than twelve months before the date of termination for those who have held appointments at Union two or more years.

All contracts are subject to the right of the Trustees to terminate them summarily for malfeasance or non-feasance or other adequate cause, duly adjudicated.

XIV. PERSONAL RECORDS AT UNION COLLEGE

A. STUDENT RECORDS AT UNION COLLEGE

All information compiled at the College on an individual student is confidential between the student and the institution. Except for "directory information" and in those cases where a form explicitly indicates that the information is for public use (such as data for a news release originating from the News Bureau at Union) or
where the student has signed a written release, the student may assume that the records remain protected by the office responsible: only those members of the faculty or administration who, for purposes in keeping with the academic objectives of the institution, must refer to student records shall normally have access to the files in the Admissions Office, the Office of the Dean of Students, the Office of the Registrar, the Office of Graduate and Continuing Studies, the Office of Student Aid, the Alumni Office, or the Career Planning and Placement Office.

Within these general guidelines, the College responds to inquiries from persons not authorized to inspect student records in the following manner:
- Requests for transcripts of the official academic record must originate with the student, or be released by the student.
- Requests by an accrediting agency evaluating the College are honored, with a reminder of the confidentiality of the material.
- Unless a student has signed a release form, the College will not accede to routine requests from federal and state agencies other than those conducting an approved accrediting or auditing visit, except in those cases simply involving an affirmation of a student's date and place of birth, attendance at Union, and status as a degree candidate or recipient of a degree.
- Inquiries concerning the financial position of a student addressed to either the Office of Student Aid or to the Finance Office will be answered only when it is clear that the inquiry came as a request for credit by the student or as a result of publicly-assumed obligations.

In keeping with these stipulations, the College exercises normal precautions in monitoring both its permanent and transient files on students. No records are maintained which reflect either the political activities or beliefs of students.

In those cases where the public media seek information about a student the College volunteers no details. Faculty and administrators who may be approached should refer all such inquiries to the Director of Public Relations who, at his or her discretion, may answer relevant questions, although it is assumed that qualitative assessments of a student will rest solely on publicly known data within the purview of the College.

In any case not anticipated by these provisions, the College responds in a manner compatible with the best interests of both the student and the institution. The College is further guided and constrained by the provisions of the so-called "Buckley Amendment."

B. FACULTY RECORDS AT UNION COLLEGE

Essentially the same precautions exercised with respect to student records apply to those official files maintained in the Office of the Dean of the Faculty. Therefore, faculty and administrators who receive inquiries from outside the College, especially those from the FBI, CIA, and similar agencies, should refer the inquiry to the President or Dean of the Faculty. Members of the faculty who
wish the College to provide references for any purpose should send a statement 
permitting the President or Dean of the Faculty to comply with the request.

XV. STATEMENT OF POLICY AND PLAN FOR EQUAL OPPORTUNITY AND 
AFFIRMATIVE ACTION

Union College will not discriminate in the recruitment or selection of faculty and 
employees, or in any other area of employment, on the basis of age, sex, race, national 
origin, religious belief, disability, or sexual orientation.

The College will undertake and support efforts to attract and retain fully qualified 
women and other minority group members for faculty and other positions. Further, 
opportunities for advancement will be made available without bias.

Union College will comply with a letter and intent of all State and Federal laws and 
applicable orders pursuant to Equal Employment Opportunity and Affirmative Action.

A "Policy and Plan for Equal Employment Opportunity and Affirmative Action" has 
been approved by the President and the Dean of the Faculty. It is available under 
separate cover. That plan contains definitions, College policies, courses of action, and 
means of redress with respect to the areas of equal employment opportunity and 
affirmative action.

Grievance procedures are established to bring prompt attention to instances of alleged 
discrimination that arise among employees of the College. Union College hopes that 
accessibility and fairness inherent in these procedures will encourage all employees to 
use internal avenues to address problems. These procedures apply to alleged discrimi-
nation in employment based on sex, race, color, national origin, religious belief, 
disability, age, or sexual orientation. Grievances of faculty related to promotion, 
reappointment review, contract renewal, or tenurability review are referred to the 
Faculty Review Board. Grievances concerning tenurability reviews and reappoint-
ment reviews also are the province of the Faculty Appeals Committee.

XVI. SEXUAL HARASSMENT AND HARASSMENT ON THE BASIS OF RACE, 
RELIGION, ETHNICITY, OR SEXUAL ORIENTATION (March 1992 - revised 
June 1994, and Sept. 2001)

A. PURPOSE

Harassment of any kind is not acceptable at Union College whether it is sexual 
harassment or on the basis of age, color, disability, ethnic or national origin, 
gender, race, religion or sexual orientation. It is inconsistent with the College’s 
commitment to excellence and to respect for all individuals. Union College is 
also committed to the free and vigorous discussion of ideas and issues, which the 
College believes will be protected by this policy. This policy is intended to 
complement Union College’s Equal Opportunity Policy.
B. SCOPE

The Harassment Policy applies to all persons who are enrolled or employed at Union College while they are on College property or are participating in a College-sponsored activity off-campus. The Procedures for Resolution of Claims of Harassment, described below, apply to situations in which both complaint and respondent are enrolled or employed at Union College.

Situations which involve others, including applicants for admission or employment who believe they have been harassed by contractors or vendors serving the College, will be resolved through procedures for complaints of discrimination. Persons who believe they have experienced these situations should contact the Director of Affirmative Action.

Union College has established informal and formal harassment grievance procedures that you may elect to follow at any time. These can be found in the Student Handbook, Faculty Manual, and Employee Staff Manual.

C. POLICY STATEMENT

Union College is committed to protecting the academic freedom and freedom of expression of all members of the College community. This policy against harassment shall be applied in a manner that protects the academic freedom and freedom of expression of all parties to a complaint. Academic freedom and freedom of expression include but are not limited to the expression of ideas, however controversial, in the classroom, residence hall, and in keeping with different responsibilities, in workplace elsewhere in the College community. The coverage of this Policy extends to all faculty, staff, students, and visitors to the campus.

1. Definition of Harassment

Harassment is the creation of a hostile or intimidating environment in which verbal or physical conduct, because of its severity and/or persistence, is likely to interfere significantly with an individual's work or education or affect adversely an individual's living conditions.

2. Definition of Sexual Harassment

Sexual harassment is unwanted and repeated sexual, abusive, or lewd language and/or suggestive jokes of a sexual nature; demands for sexual favors in exchange for other considerations; unwanted and constant physical or verbal pursuit with a sexual theme; leering, suggestive, or insulting sounds and gestures; unwanted touching, brushing, patting, pinching, or attention to one's body; threats of, or deliberate, sexual assault or molestation. Sexual harassment is also considered when:
a. Conduct is made, either explicitly or implicitly, a term or condition of an individual’s employment or education.

b. Submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting the individual.

c. Such conduct has the purpose or effect of interfering with an individual’s academic or professional performance or creating an intimidating hostile or demeaning employment or education environment.

D. PROCEDURES FOR DEALING WITH CASES OF SEXUAL HARASSMENT

Members of the Union College community who feel they have been sexually harassed may speak in confidence to a member of the Sexual Harassment Advisory Board who is prepared to provide support and information. In addition, employees may seek help from their own supervisor or department head. If an employee feels uncomfortable in going alone to one of the designated persons for help, she/he can bring a friend along for support. Whether or not a person consults with a college official or a member of the Advisory Board, he or she will have the option of bringing the complaint under the informal or formal grievance procedures.

Sexual Harassment Advisory Board Members: The Affirmative Action Officer, The Dean of Students, The Associate and Assistant Deans of Students, The Associate Dean for Undergraduate Education, and the Directors of the Career Development Center, College Counseling Service, College Health Service, and College Security and Safety.

Union College hopes that accessibility and fairness inherent in these procedures will encourage all employees and students to use each step outlined in the Informal and Formal Grievance Procedures prior to instituting any proceeding regarding the subject matter of the grievance in any State or Federal court or agency. If prior to or subsequent to commencing a complaint under the College’s sexual harassment grievance procedure a complainant files a claim regarding the subject matter of the complaint with a State or Federal court or agency, the College reserves the right to discontinue the grievance proceedings.

The grievance procedure is provided for the internal resolution of differences and is not a legal forum. Those wishing to use legal counsel in the search for redress should do so within a judicial system.

Pursuit of the College's grievance procedure shall not be construed as the waiver of any right which would be provided under the jurisdiction of outside agencies, including courts of law. However, the filing of a grievance does not postpone any deadlines for filing of complaints with outside agencies.
E. INFORMAL DISCUSSION STAGE OF GRIEVANCE RESOLUTION

The goal of this discussion will be reconciliation rather than confrontation, correction rather than punishment. At this stage the complainant's identity will not be revealed to the person against whom the complaint is made.

Included in this discussion will be an exploration of options and a consideration of steps the employee may follow to resolve the problem. The final determination as to which steps are taken will be determined by the complainant.

All conversations are kept confidential.

F. MEDIATION AND INFORMAL INTERVENTION

The complainant can, at any time, choose to discuss the problem with the Affirmative Action Officer or the Dean of Students, who can provide other forms of assistance in resolving the matter.

With the complainant's permission, the Officer may act as an intermediary or mediator for the complainant in bringing the nature of the complaint to the attention of the person against whom the complaint is made, in an attempt to resolve the problem to the satisfaction of all parties without publicity.

If necessary and appropriate based on the circumstances surrounding the complaint, action may be deferred until such time that the complainant is no longer in a direct relationship with the person against whom the complaint is made.

Once there is knowledge of a sexual harassment complaint, the College is effectively on notice. If, after consultation with the Officer, the complainant does not wish to pursue the complaint further, the College must still respond by taking reasonable, appropriate action. Such action can take several forms, all of which will have the goal of protecting the privacy and identity of the complainant.

At all times, statements and testimony are confidential among the parties involved.

If the grievant is not satisfied, the procedures for a formal hearing should be initiated.

G. INITIATION OF FORMAL GRIEVANCE PROCEDURES

A formal grievance proceeding shall be initiated by the complainant (hereafter referred to as the petitioner) by submitting a written request for a hearing to the President (within thirty days or as soon as possible from mediation). The request shall be accompanied by a written, sworn and notarized statement setting forth the facts giving rise to the complaint. The request and statement shall be prepared by the petitioner. The petitioner may receive assistance in preparing the
statement from a person from the College (member of the faculty, staff, or
istudent) other than a member of the staff who has been involved with the
petitioner's case. A copy of the request and the statement shall be provided the
accused (hereafter referred to as the respondent) by the Dean of Students. The
statement shall be sufficiently detailed to fairly enable the respondent to respond
to the allegations.

If the President grants the request, then within one week of the submission of the
written statement he will appoint a Sexual Harassment Grievance Committee
which will consist of two faculty members, two administrators, two staff mem-
bers, and two alternates. If the grievance involved a student-employee complaint,
the President shall also appoint two students and one student alternate to the
Grievance Committee. The President shall also appoint an impartial Chairperson
from the Committee. The list of Grievance Committee members and the names
of the alternates shall be provided to the petitioner and the respondent. In the
event the petitioner and/or the respondent believes that there are valid reasons to
replace a Committee member, a request to appoint an alternate (setting forth the
reasons) shall be made to the Chairperson within five days of receipt of the list.
The Chairperson, at his/her sole discretion, is empowered to grant or deny the
request. The Affirmative Action Officer will sit on the Grievance Committee as
an observer.

Within two weeks of receipt of the statement, the respondent shall submit a
written response to the Chairperson of the Grievance Committee. The respondent
may receive assistance in preparing the response from a person from the College
(member of the faculty, staff, or student) other than a member of the staff who
has been involved with the petitioner's case or a person who is involved with the
formal grievance procedure. The Chairperson shall provide copies of the re-
sponse to the Grievance Committee members and to the petitioner. The answer
shall respond to the substance of the statement. If the respondent fails to answer,
the Committee may proceed without it.

The Grievance Committee shall set a date and place for the hearing while the
College is in session allowing the parties a reasonable time to prepare their cases,
normally not to exceed two weeks. The petitioner and/or respondent may receive
assistance in preparing and presenting the case from a person from the College (a
member of the faculty, staff, or a student) other than a person who has been
involved with the petitioner's case or who may become involved with the formal
grievance procedure. If the petitioner or respondent intends to call a witness or
witnesses at the hearing, the names(s) of the witness(es) shall be provided to the
Grievance Committee and the other party.

The Grievance Committee may proceed independently to secure evidence for the
hearing.
H. **Hearings Before the Committee**

The hearing before the Committee shall be private. The participants shall include the committee members, petitioner, respondent, Affirmative Action Officer, and any necessary witnesses (only while they are testifying). In addition, one supporting person from the College (a member of the faculty, staff or a student) may be chosen by the petitioner and respondent to attend the hearing. **No person outside the College shall be allowed to attend the hearing except as a witness to give testimony.**

The parties or their representatives and Committee members shall have the right, within reasonable limits set by the Chairperson, to question witnesses who testify orally. A witness who is unable to attend the hearing may make a written, sworn, and notarized statement which may, at the discretion of the Chairperson, be introduced and read at the hearing provided it is demonstrated in advance, by the party intending to use the witness' statement, that justifiable grounds exist for the witness' non-attendance. The statement, if allowed to be introduced, shall be disclosed to the other party sufficiently in advance of the hearing to permit the other party to contact the witness and prepare for an appropriate rebuttal at the hearing. The Committee is not required to follow the judicial rules of evidence.

I. **Consideration of the Case by the Committee**

After hearing the evidence, the Committee may request or accept written arguments from the parties and defer ruling on the case until such written arguments have been reviewed.

The Committee shall deliberate in closed session.

The Committee shall make a finding about the grievance which shall be forwarded in writing to the President. The President shall review the finding and either affirm or reject the finding or send the matter back to the Committee for further evaluation.

If the finding is affirmed by the President, a complete record will be kept of the incident and the action taken and the following documentation will be made a part of the employee's Personnel File at the College: a copy of the sworn complaint; the findings (recommendation) of the Committee; and the written decision of the President. These items and any other documentation pertaining to the formal hearing shall also be filed in the Sexual Harassment Central File, kept in the possession of College Counsel.

The President shall take appropriate action which may take the form of one or more of the following: counseling, close management supervision, reprimand, or suspension.
If the President believes that the conduct of the respondent is sufficiently grave to justify dismissal, the termination procedures set forth in the Faculty Manual or Staff Manual (whichever is applicable) will govern.

If the President rejects the finding of the Grievance Committee, a complete record will be kept stating the outcome of the proceedings and will be made part of the Sexual Harassment Central File. This file is immune from anyone’s having access to its contents other than the Affirmative Action Officer and the College Attorneys.

The petitioner shall have the option to decide whether the following documentation shall be placed in his/her Personnel File: a copy of the sworn complaint; the findings (recommendations) of the Committee; and the written decision of the President.

College officials with access to Personnel Files and their contents would not be authorized to disclose the contents of the files without written approval/release from the employee to do so.

Any retaliatory action of any kind taken by an employee of the College against any other employee or student of the College as a result of that person’s seeking redress under these procedures is prohibited and shall be regarded as a separate and distinct cause for complaint under these procedures.
TEACHING: REGULATIONS AND PROCEDURES

I. GENERAL RESPONSIBILITY

The general responsibility for classes resides with the instructor, limited only by the academic regulations of the College and the policy of the department. These regulations represent the conditions under which instruction occurs at Union. When questions arise, a faculty member should first consult the department head.

A. CLASSROOM ASSIGNMENTS

All classroom assignments are made by the Offices of the Registrar or Graduate & Continuing Studies. Requests for the use of extra rooms for tests or lectures should be made to the appropriate office. Rooms for special meetings, evening groups, etc., must be cleared through the scheduling office. This is not only to avoid conflicts in assignments but to see that adequate security coverage is made available at the close of meetings. Groups should check doors, windows, and ash receptacles before leaving a room.

B. CLASS LISTS

The Registrar's Office distributes preliminary class lists at the beginning of each term. The original class list is replaced by a "revised" list by the fourth week of the term. At this time instructors are requested to bring any discrepancies between the Registrar's list and their own personal record to the attention of the Registrar. This is a critical procedure, for this is the last time before grades are due that clerical errors or wayward students may be recognized. As long as a student's name appears on the "revised" class list (and if the student's name so appear), the student should be considered a member of the class and reports made accordingly.

C. CHANGE OF COURSE OR SECTION

Students are not permitted to pass from one course or section to another without specific authorization from the Registrar. The general regulations concerning dropping and adding of courses, changing majors, and withdrawal from College or individual courses appear in the Academic Register. Students entering a class after class-lists have been received are expected to present proper authorization from the Registrar.

D. "EXTRA" TEACHING: EVENING DIVISION, OVERLOADS, SUMMER SCHOOL, AND TEACHING AT ANOTHER INSTITUTION

1. Department Chairs must be informed of and approve all teaching duties at Union by departmental faculty members. No course may be listed without
prior approval by the Chair. Courses offered by Chairs must be approved by the Dean of Arts and Sciences or the Dean of Engineering.

2. While faculty members are on sabbatical, they are not permitted to teach overloads or evening division courses without prior approval by the Dean of the Faculty. All teaching while on sabbatical must be approved in advance by the FRB when considering sabbatical requests.

3. Teaching a course at another institution while working full-time at Union -- or on sabbatical leave -- requires prior approval by the Department Chair and the Dean of the Faculty.

4. Generally speaking, faculty members requesting to teach more than two extra courses a year should have approval from the Chair and the Dean of the Faculty.

E. ATTENDANCE (June 1, 1990)

Each instructor shall announce at the beginning of the term the expectation with respect to class attendance. In general, the College expects students to attend classes regularly. Moreover, each instructor may make explicit requirements concerning attendance in the course, for the College realizes that methods of instruction vary and classroom participation may have greater prominence in one course than in another. Within this regulation, each faculty member is expected to keep a record of a student's attendance in classes and laboratories. This record is particularly significant for students in academic difficulty.

Whenever a student is absent for more than a week without explanation, the faculty member should report the student's name and the dates of absence to the Dean of Students. Not infrequently a student may leave college for a time and this information becomes important, especially in the event of accident, injury, or serious emotional stress.

Students who wish to be excused from attendance at class are expected to tell the faculty member in advance or, when that is not possible, immediately afterwards.

The faculty member is not only expected to act promptly to discourage indiscriminate class absences, but also has the privilege of failing a student for excessive cutting. Good practice expects that the instructor will first warn the student; if the habit continues, the instructor should notify the student in writing and address a brief request to the Registrar that a grade of "F" be entered for that student. A copy should go to the appropriate academic Dean.
In the event that a faculty member plans a field trip off-campus he/she should notify the department head and the academic Dean as far in advance as possible and check with all the students in the course to determine whether this absence will work an undue hardship on their participation in other classes scheduled during the field trip.

Faculty members are expected to meet their classes as scheduled. If there are occasions of illness or other necessary absence from the campus, the faculty member should notify and consult with the head of his/her department. If the absence is for more than three days, the Dean should also be informed. The College hopes that other faculty may be available to substitute if the absence is for more than one class.

A class can be canceled only for a legitimate reason. Any class that a faculty member cancels must be made up. Each faculty member is expected to maintain a minimum of three regularly scheduled and posted office hours per week. It is acceptable to state availability as "to be arranged" only for hours above and beyond the minimum of three hours per week. Any faculty member who finds it necessary to be out of town for more than two consecutive days is expected to notify in advance his or her department chair.

F. STUDENT TRIPS

Arrangements for all student trips undertaken by any department involving absence from a course in another department should include prior notice to the Dean of Arts and Sciences or the Dean of Engineering.

G. EXAMINATIONS (June 1, 1990)

Faculty members are free to give whatever types of examinations, essays, reports, and laboratory assignments they deem appropriate. Although no regulation requires notifying students in advance of hour tests, it is general practice to announce to students at the beginning of the term an approximate schedule of such tests. An hour test counts as a class. No hour tests may be given during the week preceding the final examinations except for laboratory tests. A student absent from an hour test receives an "F" unless the instructor excuses the student. The faculty member should check directly with the Health Services in case of a student illness or with the Dean of Students if the student is absent because of an official College function. The College asks that instructors arrange directly an approximate make-up test for students who have legitimate excused absences. In deference to their colleagues and in fairness to students, faculty should schedule mid-course exams for regular recitation periods and conclude the exercise within the period of the class.

Final examinations are scheduled by the Registrar's Office and will, whenever possible, avoid student conflicts. For this reason it is generally difficult to change
the time of an examination. Any changes to which the Registrar cannot readily agree must have the approval of the appropriate academic dean. Most final examinations are conducted in regular classrooms. Multiple section courses may be combined in one or more large rooms, however, if the instructors do not object and conflicts are not created.

Members of the faculty are free to use a variety of formats for their final examinations (including, for example, "open-book" and "take-home" tests). The format to be used, and the ground rules governing it, should be carefully explained to students well in advance of the examination itself. A faculty member must be present in the room during the time in which his or her students are taking any exam. If it is necessary to find a substitute to be present during an exam, such a substitute must be a faculty member.

If a traditional type of examination is given, the following procedures should be observed:

-- The examination should be given at the time and in the place indicated on the Registrar's published examination schedule.

-- The examination should be given under the direct supervision of the instructor.

-- Reasonable precautions should be taken to assure an atmosphere conducive to maximum performance by all students and to prevent dishonesty.

College regulations require that all assigned work be completed by the deadline set by the instructor, but no later than the end of the examination period. A grade of "Incomplete" may be given only if difficult circumstances clearly beyond the control of the student warrant this procedure. The submission of a grade of "I" must be accompanied by a form signed by both the instructor and the student acknowledging the requirement that the work be completed within two weeks of the end of examination period. Any extensions beyond that date must be approved by the Dean.

H. PROFICIENCY EXAMS

See catalog for details.

The instructor involved is remunerated as follows:

-- For preparing, administering and grading a proficiency exam:
  Honorarium = $75.00.

-- For administering and grading a previously used exam for a second student, or if two are taking the same exam together:
  Honorarium = $25.00.

When the instructor submits the grade to the Registrar, he/she will be asked to request payment by means of a form prepared by the Registrar.
I. GRADES

Information concerning the grading system is in the Academic Register.

At the outset of the fifth week of each term, faculty members receive from the Registrar a list of all freshmen enrolled in each of their courses and are required to submit interim grades (not of record) for any freshmen currently doing "D" or "F" work. In addition, yellow "D" or "F" cards are included so that particular reasons for low mid-term grades may be explained. Academic advisors are informed about any advisees doing poor or failing work. The yellow cards are sent to the academic Dean, who consults as needed with advisors and students.

Grades for all students at the end of the term, indicated on forms provided by the Registrar's office, must be submitted to the Registrar not later than three calendar days after the final examination in the course. "C-", "D" or "F" cards are again provided and are used by the Sub-Council on the Academic Standing of Students when necessary. Only through faculty cooperation in the prompt filing of grades can the academic standing of the next term and a timely meeting of the Sub-Council on the Academic Standing of Students be held. For students completing requirements for graduation, any grade of "F" (Failed) must reach the Office of Registrar before noon of the Thursday preceding Commencement.

Faculty members should consult the Academic Register for information on withdrawals.

Once a grade is processed by the Registrar, a grade may be changed only if a request is submitted in writing by a faculty member to the department head. The request should include a detailed statement of the reason for the change. If approved by the department head, the request is forwarded to the Sub-Council on the Academic Standing of Students and is approved only if the Sub-Council acts favorably. In those instances in which the request to change a grade is based on a clerical or computational error, the Registrar may act for the Sub-Council.

Instructors are asked to announce to their classes that the only method for obtaining final grades before the mailing goes out to parents and adviser is to leave a post card with the instructor.

J. ACADEMIC HONESTY

The College assumes that students will not resort to plagiarism, the theft and mutilation of library books, or any other form of academic dishonesty. Therefore, it is important that each instructor make clear to the students the extent to which they may work together in the presentation of papers, reports, essays, problems, or laboratories. Similarly, every faculty member should use some occasion in class to
remind students of what plagiarism is and what is expected of them with respect to the use of library materials. As regards examinations, instructors should be explicit as to whether the test is an "openbook" examination or whether all materials which might assist a student are to be left outside the examination area.

A faculty member who suspects a student has transgressed the standards of academic honesty shall contact immediately and discuss the matter with the Associate Dean for Undergraduate Education.

A preliminary review of the allegations shall include the student, the faculty member making the allegations and the Associate Dean for Undergraduate Education. The student will have an opportunity to respond to the allegations at this meeting.

If the matter is not resolved at the preliminary review, the student will be requested to respond to the charges before the Subcouncil on the Academic Standing of Students. A quorum of the Subcouncil shall be six members.

The following procedural guidelines will govern this meeting:

1. At least forty-eight (48) hours prior to this meeting the student shall
   -- Be notified of the meeting.
   -- Be provided with a written copy of the charges.
   -- Be provided with a list of the members serving on the Subcouncil on the Academic Standing of Students and be given the opportunity to indicate any objections to those sitting on the Subcouncil. These objections shall be made in writing to the Chair of the Subcouncil and shall be delivered to the Office of the Associate Dean for Undergraduate Education at least twenty-four (24) hours prior to the meeting. No Subcouncil member shall be asked to disqualify himself/herself from the proceedings except for reasons related to the objectivity of the Subcouncil member; such determination to be made by the Chair.

2. The students also shall
   -- Be permitted to have someone from the College community serve as an advisor during the proceedings. This advisor may not address the Subcouncil.
   -- Have an opportunity to hear the information that supports the charges of the faculty member making the allegations.
   -- Be permitted to question the faculty member and offer information that contravenes the charges.

The Subcouncil and the student shall adhere to the following procedures:
**Failure to Appear**  If the accused student fails to appear before the Subcouncil on the Academic Standing of Students on the date and at the time and place specified in the notice, the Subcouncil on the Academic Standing of Students may take the testimony and information from the faculty member and reach a decision on the basis of that information. If the accused student is unable to appear before the Subcouncil on the Academic Standing of Students on the date specified in the notice, he or she should notify the chair of the Subcouncil. If the Subcouncil determines that good cause exists for absence of the accused student, it may set a new date for the new meeting.

**Standard of Proof**  In order to determine that the student has violated the standards of academic honesty, the majority of the Subcouncil members present must conclude that the information presented constitutes a clear and persuasive case in support of the charges. "Clear and persuasive" means that the information presented convinces the Subcouncil that there is a high degree of probability that the violation had occurred.

**Penalties**  If the allegations are found to be substantiated by the Subcouncil, possible penalties include: failure in the assignment; a one letter grade reduction for the course; failure in the course; suspension from the College or expulsion from the College. Suspension or expulsion action shall be noted on the permanent record of the student. A memorandum of the charge and the penalty will be sent to the student, and to the Office of the Dean of Students where it will be placed in the student’s confidential file.

**Appeal**  Within ten (10) days of being notified of the decision the student may appeal the decision of the Subcouncil in writing to the Vice President for Academic Affairs of the College when the student believes one or more of the following conditions has occurred

--- A significant procedural error was committed (an element in the procedure outlined above was abridged or omitted).

--- New facts or information became available.

--- The sanction imposed for the violation is unreasonably harsh or inappropriate.

The Vice President may consult with the Subcouncil, its chairperson, the Associate Dean for Undergraduate Education, and/or anyone else appropriate in reviewing the appeal. The Vice President’s decision will be communicated to the student. There will be no further appeal.

K. **CONTRACTUAL ARRANGEMENTS - GRADUATE PROGRAMS**

The Subcouncil on Graduate Studies has authority for approval of and official notification on:
-- tuition remission for graduate students,
-- appointment of research fellows and graduate assistants,
-- allocation of endowment income to graduate fellowships.

Department heads propose candidates for these grants to the Subcouncil on Graduate Studies which will approve or disapprove, write the letters of notification, and be responsible for the budgetary implications.
FACULTY CONSTITUTION

I. BASIC STRUCTURE OF THE GOVERNANCE SYSTEM

Effective June 14, 1980, the Board of Trustees established the following system of governance:

-- A General Faculty.
-- A Student Government.
-- Two Policy Councils: an Academic Affairs Council to recommend educational policy and a Student Affairs Council to recommend policy for student life.
-- A Faculty Review Board to advise the Administration and Board of Trustees on matters of faculty salaries, promotion, and tenurability.
-- Two Consultation Groups to advise the President of the College on matters of institutional concern: a Conference Group to advise on matters of current institutional functioning and a Planning and Priorities Group to advise on matters of budgetary planning and long-range needs.
-- Liaison Committees to work with key members of the Administrative Staff of the College.

II. ORGANIZATION OF THE FACULTY

A. MEMBERSHIP

The General Faculty shall include as members all full-time members of the teaching faculty, professional librarians, and part-time faculty who teach at least four courses during the academic year. In addition, the following positions which are closely involved with matters of educational policy, also have faculty status: the President of the College, the Dean of the Faculty, the Dean of Arts and Sciences, the Dean of Engineering, the Associate Academic Deans, the Dean of Students, the Vice President for Admissions, the Registrar, and all full-time individuals holding academic administrative appointments who enjoy membership in an academic department by virtue of their academic credentials (and who may teach in that academic department). Individuals filling these positions shall enjoy all the rights and privileges of membership in the General Faculty except that of holding office subject to election by the General Faculty.

B. LEADERSHIP OF THE FACULTY

The General Faculty shall be directed by an Executive Committee comprising a Chair, a Secretary of the Faculty, and four additional faculty members who shall be the four heads of the Academic Divisions. The Executive Committee shall have as responsibilities: developing the agenda for all General Faculty meetings in consultation with the President of the College and providing supporting materials for those meetings; serving as a nominating committee to submit names of candidates for
each office or committee position subject to election by the General Faculty (additional nominations may be made from the floor) and to any other appointive positions in the governance system; and advising the Administration on all matters of concern to the General Faculty. The Executive Committee shall, as members of the Planning and Priorities Group, be responsible for proposing appropriate levels for the faculty salary budget to the administration. In order to meet this responsibility, the Executive Committee shall appoint a Faculty Compensation Committee, whose membership shall include at least one member of the Executive Committee and one member of the Faculty Review Board, to address this issue. The Faculty Compensation Committee will present its report to the President. The Executive Committee shall also have the responsibility for revising the faculty constitution and by-laws to be in accord with the new governance system and to establish orderly means to accomplish the business of the General Faculty.

The Chair of the Faculty Executive Committee is responsible for the operation of the General Faculty, for the General Faculty's compliance with provisions of the governance system, and for the execution of the tasks assigned to the Executive Committee. The Secretary of the Faculty shall record and report minutes of all meetings of the General Faculty and of the Executive Committee, and shall participate as a regular member of the Executive Committee. The Secretary shall see that the faculty is promptly informed of all formal recommendations of the Academic Affairs Council and the Faculty Review Board and of all other matters which should come to the attention of the faculty.

C. FACULTY MEETINGS

The General Faculty will meet in three regular meetings during the academic year and in three or more informational sessions. Additional meetings of the General Faculty may be called according to other provisions of the governance system. The regular meetings will be in September (to introduce new administrative officers and faculty and to receive reports from the President and other administrative officers as appropriate), in February (to be informed of budgetary decisions for the coming year and to discuss long-range plans for the College), and in April (to select prize recipients and recommend to the Trustees all persons to be awarded earned degrees and to elect faculty members to serve as officers of the General Faculty and as members of those governance structures for the coming year whose members are to be elected by the General Faculty).

The Chair of the Faculty Executive Committee will issue the call for all meetings of the General Faculty. The Chair will do so as required by the provisions in the governance system, at the request of the President of the College, or on receipt of a petition submitted by at least 10 percent of the General Faculty, or at his/her own initiative. The President of the College or the Chair of the Faculty Executive Committee may ask the General Faculty to express an opinion on any matter by
vote; and other matters may be brought up for a vote as a result of a petition submitted by at least 10 percent of the General Faculty.

The President of the College will personally chair the meetings of the General Faculty but will relinquish the chair in the following circumstances:

1. To make a formal report to the faculty.
2. To speak on a matter before the meeting.
3. To respond to a question of substance from a faculty member.

Under these circumstances, or if the President is not in attendance at the meeting, the Chair of the Faculty Executive Committee will take the chair.

Individuals who do not have faculty status may be invited to attend as appropriate by the President or by the Chair of the Executive Committee without voting rights. Any guest may speak on invitation of the President or any member of the faculty.

D. DIVISIONAL MEETINGS

The academic department of the College are divided into four divisions: Humanities, Social Sciences, Sciences and Mathematics, and Engineering. The Academic Divisions of the College meet for purposes of communication and informal deliberation, and to elect the Divisional Heads and the members who represent the Division of the Academic Affairs Council and the Faculty Review Board. The Academic Division shall meet at the call of the Division Head.

E. CRITERIA FOR ELECTIONS OF FACULTY MEMBERS

A faculty member may be elected at any one time only to one Council, to the General Education Board, to the Faculty Review Board, to any elected position of Faculty leadership, or as Faculty Trustee. Normally, terms of office are for three years. No faculty member may be re-elected immediately to the same position.

Only regularly elected members may vote at meetings of the various governance structures. No "proxies" or substitutes will be permitted on any governance structure, whether for faculty, student, or administrative representatives except as stipulated below. Divisions shall, however, be permitted to elect a replacement for a divisional representative to any council, board, or committee in the event of an extended absence of that representative for the term of absence.

If a faculty member resigns from any council, board, or committee, his or her term will be regarded as having been completed and the elected or appointed replacement will serve a full term beginning with the year in which the resignation took effect.
If any council, board, or committee finds that turn-over in a given year is such that reasonable continuity is jeopardized, it can request permission from the Faculty Executive Committee to extend the term of one member for a period of one year.

III. THE POLICY COUNCILS: AUTHORITY AND STRUCTURE

A. AUTHORITY OF THE POLICY COUNCILS

The Policy Councils shall initiate formal policy recommendations to the President (through the appropriate administrator) and Board of Trustees in the areas of Academic Affairs and Student Life. In the case of the Student Affairs Council, all recommendations will proceed directly to the President and Board for approval and implementation. In the case of the Academic Affairs Council, any formal policy recommendation must be submitted to the General Faculty for approval prior to being forwarded to the President and Board of Trustees.

B. CREATION OF SUB-COUNCILS

Each Policy Council shall be empowered to create as many sub-councils as necessary to deal with specific areas of its responsibility, and it shall be empowered to staff these sub-councils with individuals not on the parent council. With the exception of the standing sub-councils established in Sections IV,C and V,C below, all sub-councils shall expire automatically at the end of every academic year. Sub-councils shall normally be chaired by a member of the parent council, and shall have the responsibility for submitting carefully considered proposals to the parent Council for deliberation, but they may not themselves formally recommend policy to the General Faculty and the Administration.

All student members (who are full-time "day-time," undergraduates) of the sub-councils (with the exception of chairpersons) shall be appointed by the Student Government Committee on Committees or its equivalent. Faculty representatives shall be appointed by the chair of the parent Council in consultation with the Faculty Executive committee, except as specified below in this document.

C. LEADERSHIP OF THE COUNCILS

Each Policy Council shall choose a Chair from among its own members at the beginning of the academic year. The Chair shall serve for a full year and may be re-elected.

D. PROCEDURAL TERMINOLOGY DEFINED

In the procedural flow chart stipulated for each Policy Council below, the term "academic calendar" shall refer to that period of time beginning with the first day of
classes and ending on the last day of final examinations for the Fall, Winter, and Spring terms. The word "day" shall mean a normal calendar day, including weekends and holidays. Except in cases of replacement elections and replacement appointments, the effective dates for all terms of office begin on September 1 of the academic year and end on August 31.

IV. THE ACADEMIC AFFAIRS COUNCIL

A. MEMBERSHIP

The Academic Affairs Council shall have as voting members seven faculty representatives (one to be elected by each of the four Divisions, with three others to be elected by the General Faculty at large) and four students (full-time, "day-time" undergraduates to be appointed by the Student Committee on Committees or its equivalent). In addition, the Dean of Faculty, the Dean of Arts and Sciences, the Dean of Engineering, and the Associate Dean of Undergraduate Education shall be non-voting members of the Council. Faculty members shall serve staggered terms and shall meet the criteria set forth in section II,E above. Two of the student members shall serve two-year terms, and two shall serve one-year terms. The Dean of Arts and Sciences will normally serve as the Council's recording secretary.

B. RESPONSIBILITIES

The Academic Affairs Council shall formulate and submit for General Faculty approval all changes in academic policy and all proposals for new programs. Proposed changes in academic policy may also be initiated at any meeting of the General Faculty. Such proposals shall be referred to the Academic Affairs Council for review and shall be reported back to the Faculty, at the next Faculty meeting (or as otherwise stipulated at the time of referral). It shall normally be the practice of the Academic Affairs Council to refer to its sub-councils the preliminary formation of plans and policies, and receive from these sub-councils recommendations for action.

The Council shall receive from the appropriate sub-councils recommendations on the approval or disapproval of proposed new courses, reviews of current academic programs and services (such as academic advising of students) and recommendations on new programs within the curriculum. The Council shall solicit proposals and seek support for faculty and student research, for faculty development, and for curricular experimentation; and it shall advise on the allocation of available funds for these activities.

The Academic Affairs Council shall review and revise as necessary the criteria for academic honors and other scholastic awards, and for good academic standing.
The Academic Affairs Council shall advise the Dean of the Faculty in the preparation and annual revision of a working plan for academic development, encompassing both a general direction for the entire academic program and appropriate goals for departments and programs. The Administration shall make available to the Academic Affairs Council the budgetary information it needs to make informed judgments in the development and revision of the plan. The working plan for academic development should be the basis for the annual academic budgetary requests by the Dean of the Faculty. The educational guidelines provided by the Working Plan will be used by the Associate Dean of Undergraduate Education in performing, and reporting to the AAC, a periodic review of each Department and interdepartmental program, with particular attention to the needs and resources of each. The guidelines provided by the document will also be used directly by the administration in making staffing decisions which affect the distribution of faculty within the curriculum. The Council may occasionally offer its assistance, or be asked for it, in the interpretation of the document concerning specific pending decisions. The Associate Dean of Undergraduate Education will report the year's staffing decisions to the AAC, explaining them in terms of the Working Plan.

C. STANDING SUB-COUNCIL OF THE AAC

The AAC shall form two standing sub-councils: a Sub-council on the Standing of Students and a Sub-council on Graduate Studies. Unless the recommendations of these standing sub-councils are deemed by the AAC to be in conflict with the objectives on the College’s academic policy, they will normally be sustained by that Council and forwarded to the General Faculty and the Dean of the Faculty.

The Sub-council on the Standing of Students shall review and, as appropriate, recommend revision of those College policies which affect the academic standing of undergraduates at Union; it shall review the records of students who earn less than a satisfactory average and apply to all undergraduate degree candidates the accepted criteria for "good academic standing;" it shall also evaluate petitions for undergraduate re-admission to Union and consider all requests for exemption from undergraduate academic regulations. The membership of the Subcouncil shall be three (3) students (full-time, "day-time," undergraduates), four (4) faculty members (appointed as other members to Subcouncils and with one member from each Division), the Associate Dean of Undergraduate Education or his/her designee, the Dean of Students or his/her designee, and the Registrar.

The Sub-council on Graduate Studies shall formulate and recommend plans and policies with respect to graduate studies. It shall recommend the approval or disapproval of proposed graduate courses and programs; it shall review the criteria for graduate courses and programs; it shall review the criteria for graduate admissions and revise them as may be appropriate; it shall specify and apply to all graduate students the criteria for "good academic standing" at the graduate level; it
shall evaluate all requests for exemption from graduate academic regulations; it shall monitor the advising system for graduate students and make recommendations for improving its effectiveness; and it shall establish guidelines for the regular review of graduate programs and assist the academic officers of the College in conducting these reviews.

D. PROCEDURES

The procedures to be followed by the Academic Affairs Council shall be those put forward in Chart "A", page 9.

E. THE GENERAL EDUCATION BOARD

The General Education Board will consist of the Associate Dean of Undergraduate Education, four additional faculty members, and two students. The Dean of the Faculty (or his/her designee), the Director of the Writing Center, and the senior at-large member of the Faculty Review Board will serve ex-officio. The Associate Dean of Undergraduate Education will serve as Director of the General Education Board. Each Division will elect one faculty representative to serve on the Board. These four faculty members will serve staggered, two-year terms. The two students will be selected by a process to be determined by the Student Forum and will serve staggered, two-year terms; one student must be a freshman or sophomore. The members of the Board will advise the Director. The Director will recommend courses to the AAC for inclusion in the General Education Program. The General Education Board will make recommendations to the Director for the development of new general education courses and programs and will oversee existing programs.

V. THE STUDENT AFFAIRS COUNCIL

A. MEMBERSHIP

The Student Affairs Council shall consist of five (5) students (full-time, "day-time," undergraduates). The Student Forum shall determine which of its members shall serve on the SAC and how the remaining non-Forum members on the SAC shall be elected. In addition, the Council shall also include two (2) faculty members, both of whom shall be elected by the faculty at large without regard to Division affiliation, two (2) administrators (the Dean of Students and the Associate Dean of Undergraduate Education) and one (1) administrator ex officio and without a vote (the Dean of the Faculty). The Faculty members shall serve staggered three-year terms and shall meet the criteria set forth in section II,E above. The student members shall serve one-year terms.
B. RESPONSIBILITIES

1. The Student Affairs Council shall continuously review policy and formulate and recommend plans for the following:
   -- Student Housing.
   -- Dining Services.
   -- Student Center.
   -- Health Services.
   -- Counseling Services.
   -- Career Counseling and Placement.

2. This Council shall formulate and review policy concerning student conduct, including criteria for "acceptable social behavior" and procedures to be followed by the Sub-council on Student Conduct.

3. This Council shall assume overall responsibility for College policy affecting the fraternities and sororities.

4. This Council shall have responsibilities for advising the Student Forum (or its equivalent) and the Dean of Students on matters of student activities which have a significant impact on student life. The Student Forum is to have authority for all student activities (i.e., all activities organized primarily by students, where the decision-making is by students and where the main participants are students), including the allocation of all Student Tax Monies. The Dean of Students shall be responsible for ensuring that other College interests are taken into account in the development of student programs and services.

C. SUB-COUNCIL

The Student Affairs Council shall form one standing sub-council: a Sub-council on Student Conduct. The Sub-council on Student Conduct shall hear cases of student misbehavior and recommend appropriate action (according to policies established by the Student Affairs Council) to the Dean of Students. The decision made by the Dean of Students may be appealed to the President of the College. The Standing Sub-council on Student Conduct shall be composed of nine (9) students (full-time, "day-time," undergraduates) and the designee of the Dean of Students, who shall serve as an advisor without vote. None of these nine students may be a member of the parent Student Affairs Council.

D. PROCEDURES

The procedures to be followed shall be those put forward in Chart "B", page 10.
CHART A

Legislative Flow Chart for Academic Affairs Council

1. Academic Affairs Council (AAC) receives formal proposals from its councils, from its own members, or from Department Heads.

2. The AAC passes a formal policy recommendation.

3. The Student Forum or its equivalent has ten days in the academic calendar in which to respond to the policy recommendation in one of the following ways:
   -- Receive the report and take no action; or
   -- Return a Sense of the Forum Resolution to the AAC, requesting a formal reconsideration of the policy recommendation.

4. At a meeting of the General Faculty called within thirty days, the General Faculty may
   -- Approve (by majority vote) the policy recommendation as it stands, in which case, unless a Sense of the Forum Resolution has been received by the AAC Chair, the policy recommendation is forwarded to the Dean of the Faculty and the President for formal approval and implementation; or
   -- Return the recommendation to the Academic Affairs Council with suggested amendments; or
   -- Reject (by majority vote) the policy recommendation, in which case the proposal is defeated and may not be reconsidered during the current year.

5a. If the recommendation is returned to the Academic Affairs Council by the General Faculty, the AAC has thirty days in the academic calendar to take action. It may
   -- Withdraw the policy recommendation, in which case the same recommendation may not be reconsidered during the current academic year; or
   -- Return the initial proposal to the General Faculty, explaining why it has not incorporated suggested amendments; or
   -- Resubmit a modified proposal to the General Faculty and the Student Forum or its equivalent.

5b. If a Sense of the Forum Resolution is returned to the Academic Affairs Council by the Student Forum or its equivalent, the AAC has thirty days in the academic calendar in which to reconsider the proposal and respond in writing to the resolution. Such a written response is the responsibility of the student members of the AAC. The AAC may
   -- Withdraw the policy recommendation, in which case the same recommendation may not be reconsidered during the current academic year; or
   -- Return the initial proposal to the Student Forum or its equivalent, explaining why it has not incorporated suggested amendments; or
   -- Resubmit a modified proposal to the Student Forum or its equivalent, and to the General Faculty.
6. The General Faculty shall meet within ten days in the academic calendar of receiving again the policy recommendation of the AAC (either the resubmitted initial proposal or a modified proposal) and any Sense of the Forum Resolution(s) related to either the resubmitted initial proposal or any modified proposal. The General Faculty may
   -- Approve by majority vote the proposal submitted to it by the AAC, in which case the proposal is forwarded to the Dean of the Faculty and the President for formal approval and implementation; or
   -- Fail to approve by majority vote the proposal, in which case the proposal is defeated and may not be reconsidered during the current academic year.

7. The Dean of the Faculty and President must receive the recommendation of the Council and formally approve or disapprove the recommendation within ten days in the academic calendar. In the unusual instance that the Dean of the Faculty or President vetoes the policy recommendation of the AAC, such disapproval must be communicated in writing to the Chair of the AAC within the ten-day period, explaining the reason for rejection. On receipt of such a rejection message, the Academic Affairs Council may begin again at Step 1.

CHART B

Legislative Flow Chart for Student Affairs

1. The Student Affairs Council receives proposals from sub-councils, its own members, or the Student Forum.

2. The Student Affairs Council passes policy recommendations.

3. The Student Forum has thirty days in which to respond to the policy recommendation. It may
   -- Receive the report and take no action, in which case the proposal is forwarded to the Dean of the Faculty and President for formal approval and implementation; or
   -- By majority vote, the Forum may call for a reconsideration of the recommendation by the Student Affairs Council, in which case the Forum must be given an opportunity to state its reservations about the recommendation in question.

4. Upon completion of the reconsideration process, the Student Affairs Council may
   -- Endorse the recommendation a second time and the recommendation is then forwarded to the Dean of the Faculty and President for formal approval and implementation; or withdraw the recommendation, in which case it may not be dealt with again during that particular academic year; or
   -- Modify the recommendation.

5. The Student Forum has ten days in which to respond to the modified policy recommendation. It may
-- Receive the report and take no action, in which case the proposal is forwarded to the Dean of the Faculty and President for formal approval and implementation; or

-- By majority vote, the Forum may call for a reconsideration of the revised recommendation by the Student Affairs Council in which case the Forum must be given an opportunity to state its reservations about the revised recommendation.

6. Upon completion of the reconsideration of the revised recommendation, the Student Affairs Council may, as outlined under point four,

-- Endorse again, in which case the revised recommendation is forwarded to the Dean of the Faculty and President for formal approval and implementation; or

-- Withdraw the revised recommendation; or

-- Modify the revised recommendation, in which case the same procedure as outlined above for revised proposals is followed.

(Note: Upon completion of any reconsideration, the Student Affairs Council may endorse the reconsidered proposal and send it for formal approval and implementation.)

7. The Dean of the Faculty and President receive the recommendation of the Student Affairs Council and will formally approve or disapprove the recommendation within ten days. In the unusual instance where the President or the Dean of the Faculty vetoes the policy recommendation of the Student Affairs Council, such disapproval must be communicated in writing within the ten day period explaining the reasons for rejection. On receipt of such a rejection message, the Student Affairs Council may begin again at step 1.

VI. FACULTY REVIEW BOARD

A. MEMBERSHIP

The Faculty Review Board shall have as members five senior faculty (those who have passed tenurability review), three junior faculty (those who have not reached the stage of tenurability review), the Dean of the Faculty, the Dean of Arts and Sciences, the Dean of Engineering, and the Affirmative Action Officer. The three deans and the Affirmative Action Officer shall serve ex officio and without vote, except that the Dean of the Faculty shall vote, if requested by the Board, in the event of a tie.

Each Division shall elect one of its senior members to serve on the Faculty Review Board. The fifth senior member and the third junior member shall be elected by the faculty-at-large. The remaining junior members will be elected by the junior faculty, one to represent the Humanities and Social Sciences Divisions, and the other to represent the Science and Engineering Divisions. Each junior member shall have been a member of the faculty for a minimum of two years, shall be elected for a term of two years, and shall not serve on the Board in the year of tenurability review.
B. RESPONSIBILITIES

The Faculty Review Board shall formulate and submit for General Faculty approval all policies and procedures for review of faculty members for renewal of contract, promotion, tenurability, tenure and salary increments. Proposed changes in policies and procedures in matters of salary review, contract renewal, tenurability, tenure and promotion may also be initiated at any meeting of the General Faculty. Such recommendations shall be referred to the Faculty Review Board for review and shall be reported back to the Faculty, at the next Faculty meeting (or as otherwise stipulated at the time of referral). The Board shall also be responsible for recommending policies for distribution of funds available for faculty salaries. The Board is further charged with reviewing individual faculty members in consideration of renewal of contract, promotion, tenure and tenurability and making recommendations in individual cases.

C. PROCEDURES

Only the senior faculty members shall join with the Deans and the Affirmative Action Officer in reviewing individuals for promotion, tenurability, tenure and renewal of long-term contracts. During consideration of reappointment reviews for junior tenure-track faculty, one junior faculty member of the Board will participate in an advisory (non-voting) capacity. This junior faculty member will have completed the reappointment review process. Attendance will be rotated among the eligible members. The Board as a whole shall consider all other matters within its jurisdiction. In the event of a tie vote, the board may request the Dean of the Faculty to decide between the favored alternatives.

D. RIGHT TO APPEAL

A faculty member may request the Faculty Appeals Committee to review a determination by the Faculty Review Board or the President regarding pre-tenurable contract renewal or tenurability, according to procedures set forth in the Faculty Manual.

VII. FACULTY APPEALS COMMITTEE

A. MEMBERSHIP

The Faculty Appeals Committee (FAC) shall have as members five senior faculty members (tenured or tenurable). Each division will elect one tenured or tenurable member of the Division to the committee. The Divisions will also elect a tenured or tenurable alternate to the FAC who replaces the elected representative should the chair determine valid grounds exist to replace a committee member as determined above. The fifth member of the committee will be elected by the faculty at large and
will chair the committee. When this person is elected, the faculty will also elect an alternate to replace the committee chair in the event the chair's membership is challenged by the petitioner. All members of the Appeals Committee will serve for two years.

The Chair of the Faculty Appeals Committee shall not serve concurrently on any ad hoc tenurability committee nor on any other of the principal governance structures. No member of the Faculty Appeals Committee can serve on the Faculty Review Board concurrently or in the year immediately preceding service on the Appeals Committee.

B. RESPONSIBILITIES

The Faculty Appeals Committee shall consider petitions by faculty members to review determinations by the FRB or the President regarding pre-tenurable contract renewal or tenurability.

VIII. THE CONSULTATION GROUPS

A. PURPOSE

The purpose of the Consultation Groups is to assure that the President of the College will systematically receive advice from faculty, students, and staff on all matters of concern to the College as a whole. Consultation on matters of immediate concern to the campus will be provided by the Conference Group; consultation on matters of long-range planning and budgeting will be provided by the Planning and Priorities Group.

B. AUTHORITY

All opinions expressed or recommendations made by the Consultation Groups are advisory to the President of the College.

IX. THE CONFERENCE GROUP

A. MEMBERSHIP

The Conference Group shall be composed of the Chair of the Faculty Executive Committee, the Secretary of the Faculty, the President of the Student Body, the Vice President of the Student Body, and the Chair of the Academic Affairs Council and the Student Affairs Council. The President of the College shall chair the Conference Group.
B. RESPONSIBILITIES

The Conference Group is to advise the President upon request on all matters of immediate concern to the general functioning of the campus. These matters will normally include -- but not be limited to -- the handling of emergency situations, bottlenecks in the governance system, the creation of ad hoc task forces, procedures to be followed in the case of appeals by members of the faculty and student body on decisions concerning their status at Union College, and the treatment of any problem which falls outside the normal functioning of the governance system and administration.

The Conference Group will meet at the request of the President and will consider whatever business the President places before it.

X. THE PLANNING AND PRIORITIES GROUP

A. MEMBERSHIP

The Planning and Priorities Group shall be composed of the four division Chairs of the Faculty, the Chair of the Faculty Executive Committee, the Secretary of the Faculty, three students (full-time, "day-time," undergraduates) to be appointed by the Student Committee on Committees, one member of the staff to be elected by the staff, one alumni representative to be appointed by the Alumni Council, the Vice President for Finance, the Vice President for College Relations, and the Dean of the Faculty. The President of the College shall chair the group.

B. RESPONSIBILITIES

The Planning and Priorities Group shall review and recommend to the President policies concerning long-range planning, the establishment of College priorities, and the preparation of annual budgets. In so doing, the Group shall be concerned with the use of current or proposed facilities, with the financial implications of proposed or anticipated institutional changes, and with all academic and non-academic issues of long-range importance. It shall have the specific responsibility of evaluating the extent to which the annual budget of the College responds to establish College priorities.

C. PROCEDURES

The Administration shall provide the Faculty members of the Planning and Priorities Group with complete and timely information relevant to long-range planning and budget issues. To ensure an open and continuing debate over the direction of the College, the President shall prepare for the Group an annual written assessment of the state of the College. This report shall address the suitability of the short- and
long-term goals of the College, the progress made during the past year toward attainment of the goals, and future resource requirements.

Normally the Group will concern itself with the development of budgetary priorities and a review of the preliminary budget during the Fall term. Other responsibilities will normally be undertaken during the Winter and Spring terms.

The Planning and Priorities Group will meet at the request of the President and will consider whatever business the President, or designee, places before it.

XI. LIAISON COMMITTEE FOR ADMISSIONS

A. MEMBERSHIP

The Vice President for Admissions shall chair the Liaison Committee for Admissions. Other members will be four faculty members, two students, the Director of Financial Aid, the Director of Athletics, and one member of the admissions staff.

The faculty members will be appointed by the Executive Committee of the Faculty, for staggered three-year terms. The student members will be appointed by the Student Committee on Committees. The admissions staff member will be appointed by the Dean of Admissions.

B. RESPONSIBILITIES

The Admissions Committee is responsible for recommending general admissions policy to the President and, through him, to the Board of Trustees, and for advising the Dean of Admissions on all matters of concern to students and faculty about admissions. In addition, the Dean of Admissions may bring to the Committee any matter for consultation and opinion.

C. PROCEDURES

The Liaison Committee on Admissions shall advise the Dean of Admissions in the preparation and annual revision of a document which outlines the overall goals, policies, and procedures to be used in the admissions process. The Dean shall prepare for the Committee an annual report which provides a detailed profile of the applicant pool, accepted candidates for admission, and freshman class. The Liaison Committee on Admissions shall meet each Spring to recommend policy guidelines, which shall then be forwarded to the President for formal approval. It shall meet throughout the year at the request of the Dean of Admissions on all other matters.
XII. LIAISON COMMITTEE FOR ATHLETICS

A. MEMBERSHIP

The Director of Athletics shall chair the Liaison Committee for Athletics. Other members will be two faculty members (one from each center, including the campus NCAA faculty representative), two students (one male and one female), and one alumni representative.

The faculty members will be appointed by the Executive Committee of the Faculty. The student members will be appointed by the Student Committee on Committees or its equivalent. The alumni representative will be appointed by the Alumni Council.

B. RESPONSIBILITIES

The Liaison Committee on Athletics shall advise the Director of Athletics on all matters of concern to the athletic program. These shall include -- but not be limited to -- intercollegiate athletic programs, club sports, intramural and recreational programs, women's programs, and instruction in athletic skills and sports. The Liaison Committee shall participate in discussions of general policy, in a review of program needs, in the analysis of budgetary priorities, and in bringing to the attention of the Director of Athletics the concerns of members of the faculty and student body.

Although the Liaison Committee is advisory to the Director of Athletics, it shall be understood that the Director is expected to consult with the Committee on a regular basis and to consider carefully its advice.

C. PROCEDURES

The Liaison Committee on Athletics shall meet at least once each term at the call of the Director of Athletics. It shall discuss whatever business the Director of Athletics or other members of the committee places before it. All decisions of the committee are advisory to the Director of Athletics.

XIII. LIAISON COMMITTEE FOR CAMPUS FACILITIES

A. MEMBERSHIP

The Vice President for Finance shall chair the Liaison Committee for Campus Facilities. Other members will be three faculty members, two students, one member of the staff, and the Director of Campus Operations. The faculty members will be appointed by the Executive Committee of the Faculty. The student members will be appointed by the Student Committee on Committees. The staff member will be appointed by the Director of Campus Operations.
B. RESPONSIBILITIES

The Liaison Committee for Campus Facilities shall advise the Vice President for Finance on all matters of the physical state of the campus and on plans for improvements. The Committee shall be consulted regularly at every stage of the planning and construction of new facilities and on other improvements to be undertaken on the campus.

The Liaison Committee for Campus Facilities shall advise the Vice President for Finance in the preparation and annual revision of a working plan for facilities development, which shall prioritize capital improvement projects on the campus. The Administration shall make available to the Committee the budgetary information it needs to make informed judgments in the development of the plan. The working plan for facilities development should be the basis for the annual physical plant capital budget requests by the Vice President for Finance.

C. PROCEDURES

The Liaison Committee for Campus Facilities will meet at least once each term at the call of the Chairman of the Committee. It shall discuss matters of concern regarding campus operations and any proposed campus improvements. The Administration shall provide all members of the Committee with a complete and timely description of all campus construction projects during their early planning stages. The Committee shall assess the impact of such projects on the physical environment of the campus and report its findings, along with any recommendations for changes in the plans, to the Planning and Priorities Group which will make a final recommendation to the President.

XIV. LIAISON COMMITTEE FOR THE LIBRARY

A. MEMBERSHIP

The Head Librarian shall chair the Liaison Committee for the Library. Other members shall be four faculty members, two students, and one member of the Library faculty (in addition to the Head Librarian). The faculty members shall be appointed by the Faculty Executive Committee, normally one from each of the four Divisions, and the student members shall be appointed by the Student Committee on Committees. The Library faculty member shall be appointed by the Head Librarian.

B. RESPONSIBILITIES

The Liaison Committee on the Library shall advise the Head Librarian on all matters of policy pertaining to the operation, maintenance, and improvement of the Library.
Committee members are also expected to communicate to their colleagues information concerning Library policies and operations.

C. PROCEDURES

The Liaison Committee for the Library will meet at least once each term at the call of the Head Librarian. It shall discuss whatever business the Head Librarian or members of the committee shall place before it. All decisions of the committee are advisory to the Head Librarian.

XV. ADDITIONAL LIAISON COMMITTEES

Additional Liaison Committees may be established by the President of the College in consultation with the Conference Group.

XVI. AMENDING THE GOVERNANCE SYSTEM

All the structures and procedures established by this document may be amended at any point in the future. The procedures to be followed in amending the Governance System shall be the following:

A. Amendments may be formally proposed in any of the following ways:
   -- By a petition signed by at least 10 percent of the General Faculty.
   -- By majority vote of the Faculty Executive Committee.
   -- By majority vote of the Student Forum (or its equivalent).
   -- By the President of the College in consultation with the Conference Board.

B. Any amendment formally proposed must be circulated in writing to all members of the General Faculty and the Student Forum at least thirty days in the academic calendar prior to a vote being taken upon it.

C. Any amendment formally proposed must be approved by both
   -- A majority of all members of the General Faculty who are in residence at the College during the academic term in which the vote is taken; this vote may occur at a meeting of the General Faculty called for this purpose or by mail ballot, at the discretion of the Faculty Executive Committee; and
   -- A majority of all members of the Student Forum who were elected or appointed to serve during the academic term in which the vote is taken. (Approval by the Student Forum is not required on amendments pertaining to sections II, VI, and VII.)

In both cases, a vote on the proposed amendment must be held within forty-five days in the academic calendar following the circulation of the amendment.
D. Upon approval by the General Faculty and where required by the Student Forum, the amendment shall be forwarded to the President of the College and, through the President, to the Board of Trustees. If the President concurs with the amendment and decides that such an amendment is "procedural" in nature, the amendment will automatically become effective at the beginning of the next academic term. If the President concurs with the amendment and decides that such an amendment is "substantive" in nature, the amendment will be forwarded to the Board of Trustees for approval and the amendment will become effective at the beginning of the next academic term. If the President disapproves of the amendment, the amendment shall not take effect, and the President must communicate this decision in writing to the Faculty Executive Committee, the Student Forum, and the Executive Committee of the Board of Trustees, explaining the reasons for disapproval. In all cases, the President must act within ten days in the academic calendar following approval by the General Faculty and Student Forum. The Presidential disapproval may be overridden by two-thirds of the members of the General Faculty who are in residence in the term in which the vote is taken.
BOOKSTORE, LIBRARY, AND OTHER SERVICES

I. COLLEGE BOOKSTORE - College Center

Faculty and staff, and members of their families, may use the Campus Store to the full extent of its services. Items totaling $2.50 or more at any one time may be charged. Accounts are payable within 30 days of the billing date. A finance charge of 1 1/2% per month is levied on balances outstanding after 30 days (minimum charge of $1.00 if balance is under $65.00). Credit ceiling is $500.00 per academic year for full-time faculty and staff members employed by Union College. The privilege of charging will be suspended for any account containing charges which have not been paid within 90 days of original billing, and may be withdrawn permanently where circumstances seem to warrant such action.

The Campus store is prepared to offer the following services to the College community:
- Special orders (deposit required).
- Twenty-four hour film processing.
- Magazine subscriptions.
- Educational computer discounts.
- Gift certificates.
- Shop by telephone (388-6188) Monday through Friday, 9:00 a.m. to 4:00 p.m.
- Gift wrapping of items purchased at the College Bookstore ($1.00 - $3.50 per package).

A. OF INTEREST TO THE TEACHING FACULTY

1. Requisition Cards for course-related materials are sent to Departments six to eight weeks in advance of the term. These should be filled out and returned later than the cut-off date indicated with the information that accompanies the requisition card. The following are directions for use with requisition cards.

   a. Please print or type for legibility, particularly foreign languages.

   b. Please indicate order of use, if possible.

   c. Be sure to include estimated enrollment figure (even if only an educated guess). This figure should if possible correspond to the registrar's figure for enrollment in your course. If you have these figures, but are estimating a higher number, please explain briefly in the "Remarks" column.

   d. On your requisition forms, please check specific box if title is recommended or required. We assume that fewer students will buy a "Recom." title than a required one. To help us avoid underordering, could you,
where possible, estimate in "Remarks" column how many students are likely to buy each of these recommended titles.

e. If you are undecided about some titles, but decided on others, give us a list of those titles that are definite, and send in a supplementary list later when you have decided on the balance. Should you do this, state that the initial list is only a partial list.

2. Desk Copies

Publishers require that faculty members send to them any request for complimentary desk copies of adopted textbooks. The store is unable to provide complimentary desk copies. We will, however, sell you a textbook and charge it to your personal account or to the respective Department account if permission is granted. If the desk copy you requested is received from the publisher within 30 days and it is free of any stamped markings by the publisher, your account or that of the Department will be credited for the full cost of the book. Otherwise your account or that of the Department will be charged for the full cost of the book. We cannot accept these books back after 30 days for credit.

3. Trade Books

The College Bookstore stocks well over 8,500 titles of books encompassing 30 subjects. The College Bookstore will be happy to carry in its Trade stock additional titles recommended by faculty. Also any book that is in print may be special ordered. A small deposit is required.

4. Other Services

If there are items or special equipment or supplies which you would like to have available to your students, we shall be happy to include them in our stock. The buyers of our Art and Engineering Departments and our Stationery Department will be most willing to work with you. Please feel free to contact them whenever they may be of service.

5. Computer Sales and Services

Union College faculty are eligible to purchase personal computers and many software titles at the College Bookstore at substantial educational discounts not available from retail dealers or other computer resellers.

These educational discount prices apply to hardware, software, and peripherals for either personal use or for departmental use.
Technical support is available and may be provided either directly by manufacturers, or in conjunction with the Union College Office of Computer Services. Hardware service, both in and out of warranty, is provided by Computer Professionals, Inc. of Albany, an authorized service provider for IBM, Apple, and Hewlett-Packard. Computer Professionals offers the convenience of repair pick-up and drop-off at the Union College Bookstore.

Payment options include major credit cards, factory financing, or direct payroll deduction financing for eligible faculty. Departmental purchases, and research grant purchases are charged to appropriate project/object accounts.

Currently, the College Bookstore offers educational discount pricing for the entire Macintosh and PowerBook line and products from several IBM Alliance Companies (a collection of post-reorganization companies that formerly made up IBM Corporation).

Higher-ed discount pricing is also available for a rapidly growing number of software developers including core applications, programming languages, utilities, and CD-ROM titles.

The computer sales buyer can be reached at 388-6188 for further information.

a. Computer Purchase Loans for College Employees

The computer loan program was established to assist qualified employees in the acquisition of personal computers, terminals and/or related equipment.

1. Qualified employees include full-time, regular faculty, administrative, and hourly staff of the College.

2. The maximum amount which can be borrowed is $3,000 or the purchase cost of the computer equipment, whichever is less.

3. The loans will be interest free.

4. Loans must be repaid through payroll deductions, the amounts to be deducted from each pay computed by dividing the amount borrowed by the number of pay periods within the repayment period. Termination of employment causes the unpaid balance at that time to become due and payable through payroll deduction.
(5) Each loan must be repaid over a period not to exceed one year (twelve months) from the date of the loan.

(6) Proof of purchase must be submitted when applying for a loan. Receipted invoices and/or purchase orders are acceptable.

(7) Applications for these loans can be made in the Payroll Department, Feigenbaum Hall.

6. **Custom Publishing**

If you plan to use any custom published materials for your classes, the College Bookstore will reproduce any documents, portions of publications, books, etc., for class use. It works with The Copy Clearance Center, Inc. of Danvers, Massachusetts, to obtain copyright permission to produce practically anything that you may want to use in the classroom.

The Bookstore needs at least six weeks to produce a finished product. Let them know your needs before leaving for the summer. If you have any questions regarding custom publishing, call the textbooks department at extension 2191.

Faculty ID numbers are required to document eligibility for hardware or academic software purchases intended for personal use.

II. **LIBRARY SERVICES**

Union College has had a book collection since its founding in 1795. The first volume of the Trustees' Minutes, dated in that year, lists the titles purchased from three different dealers. In fact, the volumes remaining from the original purchase, known as the First Purchase Collection, which had been scattered throughout the stacks, have now been brought together as an archival collection.

The Library has had several physical locations on the campus. In 1961 the present building, Schaffer Library, was opened for use; an addition was constructed in 1974. Planning is well underway for renovation and expansion of the current building with construction expected to commence in 1996-97. Volumes number about 496,000, and current serial and periodical titles number about 2,000. Our goals are to shape our services and functions to accord with the educational mission of the College.

Schaffer Library is committed to providing excellent service in support of the educational mission of Union College.
We value an environment conducive to individual and personal growth for all (users and providers).

We are committed to intellectual freedom and offering equitable access to information resources and professional expertise.

We also are committed to build, maintain, and preserve a broad and diverse collection in many formats.

We value the traditions of Union College and the library's role in that history.

A. CIRCULATION

1. Borrowing Privileges for Schaffer Library Material:

Faculty Members will be given borrowing privileges at Schaffer Library when they register at the Circulation Desk. The library card, which must be presented in order to borrow books, is the College Picture ID with a preprinted barcode on the back. Those faculty without a picture ID may also register for borrowing privileges with the Circulation Staff.

A faculty member may also request a Capital District Library Council (CDLC) Direct Access card which will be honored at cooperating regional libraries, subject to their lending regulations. If your library account is clear at Schaffer Library, you will be granted extended borrowing privileges through this program.

Some services available at the Circulation Desk:
-- You may request that an item in Storage be retrieved for you to borrow. Retrieval time is within 48 hours.
-- You may place a Search request for an item that you cannot locate in the stacks.
-- You may place a Recall Request for an item that is charged to another patron. If an item has been out for at least 2 weeks, we will request that the book be returned for you to borrow.

(All request forms are available at the Circulation Desk.)

The faculty loan period is generous; all circulating items (except CD's) are due the beginning of each July at the end of every academic year. CD's may be borrowed for one week (no renewals), and a patron may have no more than four at one time. Renewal of all other Schaffer Library items is possible at the end of each academic year. All items must be brought to the Circulation Desk for return or renewal. Circulation Staff cannot renew items over the phone.
Faculty are fine-exempt for Schaffer Library items returned late after the academic year loan. Faculty will be responsible for the following charges:

- Replacement fees for lost items (charged through Circulation, Interlibrary Loan or a CDLC institution).
- Damage fees for items damaged while charged to you.
- Recall fines for items not returned after a recall request has been made.
- Fines for overdue Interlibrary Loan items.

Temporary holds may be placed on your library account and must be cleared with Circulation Staff before borrowing privileges are restored. Some reasons a hold may be placed on your account include but are not limited to the following:

- Any Circulating item that is 42 days overdue.
- More than 10 items overdue at any one time.
- A recall request item that is 10 days overdue from the adjusted due date.
- Any library fines (individual or a combination thereof) owed of $50.00 or more.
- Materials and/or fines due to Interlibrary Loan or a CDLC institution that has granted you borrowing privileges.

B. REFERENCE SERVICE

Professional librarians provide reference service during the daytime, evening, and weekend hours of Library operation. Members of the College community are encouraged to avail themselves of reference assistance in using the Schaffer Library collections as well as those resources located at other institutions.

Formal training in library use is offered to classes whose instructors request a group session. Instructional options can range from general procedures and materials to specific bibliographic methods and sources tailored to study or writing assignments. Interested faculty should contact the Coordinator of Bibliographic Instruction (6281) and give sufficient notice, at least two weeks, to allow adequate planning.

Electronic access to databases is a resource open to all at the College. The self-service CD-ROM workstations offer, on an unscheduled, no-fee basis, several highly useful indexes to the literature of various disciplines. Their coverage extends over the scope of the curriculum and beyond. Individualized, point-of-use instruction is offered by the Reference staff.

In addition to the CD-ROM databases, the Library offers several options for accessing the contents of a much more comprehensive range of online databases. An electronic table of contents service is available via the Internet Gopher on the Campus Network. End-user searching of some forty databases can be conducted
both from a public workstation in the Reference area as well as from faculty offices using an authorization number available from the Reference staff.

To use the mediated Computer-Assisted Reference Service (CARS), make a written request at the Reference Desk. An appointment will be scheduled during which a librarian will conduct your search. The Library subsidizes the cost of these online searches, but a small portion of the charge is shared by the client. Charging to grant or departmental accounts is acceptable, and in fact, we strongly urge you to write the costs of online literature searching into your grant proposals. Reference staff can assist faculty members with estimating search costs for grant-writing purposes.

C. ACQUISITIONS REQUESTS

Concerns or questions about subject coverage in the collections should be forwarded to the Head of Collection Development who balances the content and form of the Library collections. Discussion of Library support for new courses is encouraged. In addition, each academic department and program appoints a representative to facilitate communication.

Requests for Library materials can be forwarded to the Head of Collection Development in any form including electronic mail messages, publisher ads, newspaper reviews, and/or photocopies of catalog pages. Full bibliographic information expedites processing and reviews are helpful.

In-process orders appear in the Library's online catalog. Most orders are received within three months. If there is a need to obtain something by a certain date, the requestor must clearly indicate that need.

The Head of Collection Development, together with the College Librarian, evaluates departmental requests for periodicals. At present, because of the costs of periodicals, the Library orders a new subscription only if a current subscription in the same discipline is dropped. However, all requests for periodicals, including those of an interdisciplinary nature, may be brought to the attention of the Head of Collection Development. Requests must be submitted on forms available at the Collection Development Office. Because a periodical subscription is a continuing fiscal commitment, careful thought is given to it. Ultimately, the College Librarian is responsible for acquisitions decisions.

There is a modest fund to support faculty research: The Whitehorne Fund. Material that is outside direct curricular support may be purchased with these monies upon application to the College Librarian. Although purchased for use by a specific faculty member, like all other materials purchased with Library funds, the material belongs to Schaffer Library.
D. **RESERVES**

Faculty members may request, in writing, that materials be placed at the Reserve Desk for student use. Reserve Submission Forms are available at the Reserve Desk and are sent to each department secretary. Reserve material must be submitted at least 48 hours before the material will be requested by students.

Schaffer Library books and Government Documents, personal copies and photocopies may be placed on Reserve. ***Important Note: In compliance with the federal copyright law, Library Staff will not make photocopies of any material to be placed on Reserve. Obtaining copyright permission (where applicable) is the responsibility of the faculty member.***

Interlibrary Loan materials, Schaffer Library periodicals and reference materials may not be placed on Reserve.

To ensure that the material will be available the first week of term, requests for material that the Library owns should be made at least one month before the term begins. Our experience with the acquisitions of new works indicates that materials which are not owned by the Library should be requested for purchase three months in advance, and foreign material may need to be ordered even earlier.

E. **INTERLIBRARY LOAN AND DOCUMENT DELIVERY**

Interlibrary Loan and Document Delivery (ILL/DD) provides users access to books, periodical articles, technical reports, theses and other research materials which are not owned by Schaffer Library. Users should be registered borrowers in good standing with the library. Request forms to order books and periodical articles are available at the Reference Desk. Electronic Interlibrary Loan forms are located on the Campus Network. Photocopies of periodical articles received through ILL are sent to campus offices. Users must pick up and return ILL books at the Reference Desk. Books returned past the due date will be subject to a $1.00 fine per volume per day. There is no faculty exemption regarding Interlibrary Loan fines.

Two-thirds of all requests are filled locally via the Capital District Library Council, a mutitype library consortium which provides access to the resources of the area’s 40-odd academic, public, and special technical libraries including the collections of the New York State Library. CDLC also operates a daily courier service among its members. For items not available in the Capital District we have access to the resources of 15,000 libraries worldwide through the Online Computerized Library Catalog (OCLC) Interlibrary Loan Network. Current articles from selected periodicals are provided through use of commercial document delivery services and fax technology. An internet based ordering and delivery system is currently in develop-
ment. For more information on these services and how to use them please contact the Interlibrary Loan Librarian.

For a more complete description of the services provided by Interlibrary Loan and Document Delivery look under "Schaffer Library" in the Internet Gopher on the Campus Network.

F. **THE AUTOMATED SYSTEM**

Minerva, the integrated online library system, includes an online catalog with Boolean searching capability, as well as acquisitions, circulation, and cataloging modules. The online catalog has entries for books, government documents, and sound recordings held by Schaffer Library. The library is adding to the database regularly, but until that process is complete it will be necessary to check the card catalogs as well as the online catalog for complete information about library holdings, especially for older works or those that may be in Special Collections. Terminals to access the online catalog are available on every floor of the library. Minerva is also accessible from any terminal on campus, through dial-in lines, and through the Union College campus-wide information system. Documentation is available at the library.

G. **COLLECTIONS**

1. **Circulating**

Most materials in the Library circulate. At present there are two main classification schemes in use: the Dewey Decimal system and the Library of Congress system. An on-going reclassification project began some years ago, and ultimately all volumes will be reclassified to LC. Some government documents are, and will continue to be, classed in the Superintendent of Documents system. Due to increased space limitations, approximately 50,000 volumes of the circulating collection were placed in Storage at an off-site facility in August of 1993. Storage items will be retrieved within 48 hours of a request placed at the Circulation Desk.

Schaffer Library has been a selective depository for United States government publications since 1901. Many titles selected appear in the catalog. Reference staff can assist in determining the Library's holdings for those titles not listed in the catalog. The Documents Librarian will be glad to consider requests for selections in areas of interest, particularly if curriculum related.
2. Non-circulating

Most periodicals, including current issues presently received as well as back runs, are shelved on the lower level. Current issues of approximately 10% of the titles to which the library subscribes are on display in the Current Periodicals Reading Room, located on the first floor of the library. Arrangement in both the lower level and the reading room is alphabetical by title. The serial catalog lists every periodical title in the library and indicates the available volumes, format, and location.

The Library has many journals and newspapers on microfilm and microfiche. There are also three major statistical collections on microfiche: American Statistics Index, Statistical Reference Index, and Index to International Statistics.

The serial catalog is the guide to what titles and years are held in microform, and the microform materials themselves are housed on the lower level. Microfiche and microfilm are stored separately, and the arrangement is alphabetical. Coin-operated reader/printers for both film and fiche are available in the Microforms Area.

The card and online catalogs indicate that certain books are located in Special Collections. The book collections in Special Collections include, among others: the Rare Book Collection, the Schenectady Collection (emphasizing local history), the Bailey Collection of Nineteenth Century North American Wit and Humor, and the Union Collection (materials on the College’s history, faculty, alumni, and student publications, etc.). These books may be used by faculty, or any other member of the Union community as well as visiting scholars, during the hours when this area is open. Special Collections is open during the hours posted at the beginning of each term.

None of the books in Special Collections may leave the Library at any time. Faculty, students, and others may use the materials by inquiring at the Reference Desk. A valid ID card is required for admission to Special Collections. Faculty are encouraged to bring small classes to Special Collections to use materials which may be relevant to their courses.

Special Collections houses a number of manuscript and archival collections in addition to the book collections described above. These manuscript and archival collections cover a range of topics and may be pertinent to faculty and student research. The manuscript and archival holdings are not listed in the catalog. Faculty should check with the Archivist if they have questions about the contents of these collections.
III. OTHER SERVICES

A. NOTARY PUBLIC SERVICE

This service is available without charge to members of the faculty, staff, and students at the Classics Department, History Department, The Arts Department and the Office of the Vice President for Finance.

B. DINING FACILITIES

College dining facilities are as follows, Dutch Hollow Restaurant, a convenience store, and Upper Class Dining Hall, all located in the College Center; Dutchmen’s Rathskellar located in the basement of Old Chapel; and West College Dining Hall located in West College. These facilities are available to faculty and staff members and their families. Arrangements can be made for special luncheons or dinners in the College dining halls and other facilities through the Catering Manager at 388-6050. Small parties, receptions, and other events can be catered, upon request, anywhere on campus.

C. HEALTH SERVICE

The College Health Service is open when classes are in session. Minor injuries and ailments of members of the faculty and staff are treated by the staff on an emergency basis only and in no way supplant the services of a family physician. Blood pressure readings and Department of Motor Vehicle eye examinations are done as a courtesy.

D. PUBLIC RELATIONS OFFICE

1. News Bureau

Official College relations with the local and national press are handled by and through the News Bureau. Information about College functions, whether sponsored by the College or by organizations within the College (including official student organizations), should be sent to the News Bureau, which will arrange and coordinate appropriate publicity. It is the policy of the College to release all information through this single channel to minimize the chances of duplicate, confusing, or contradictory stories.

Please notify the News Bureau a month in advance, if possible, of events open to the public and/or the College community. Appropriate information to send the bureau includes the title of the event, the speaker or performer, the subject, the time and place, the sponsoring organization, the cost of admission, and a phone number for further details. Biographical information and a black-and-
white photograph are helpful. Copies of news releases are sent to Concor-
diensis and WRUC, but direct contact between the event's sponsor and the
student newspaper and radio station can increase on-campus publicity.

The Chronicle is published by the News Bureau every other week throughout
the three terms. Items for the Chronicle should be submitted to the News
Bureau by 1 p.m. on Monday of the week of publication.

2. The Public Relations Office is responsible for editing, designing, and produc-
ing the College's official publications and the electronic world wide web pages.
The office provides publication assistance that includes rewriting, copyediting,
and print production coordination; it also offers consultation on project plan-
ning, budgeting, photography, scheduling, design, and desktop publishing.

Proposals for additions to the roster of College publications should be submit-
ted in time for review and inclusion in the next year's printing budget. In
general, this means proposals should be submitted by November of the aca-
demic year preceding the year in which publication is sought.

E. OFFSET PRINTING SERVICES

When a project is ready for printing, it should be sent to the Manager of Mail and
Printing Services who will obtain the necessary estimates - based on specifications
received - within two days. Because we will be using printers off campus, please
allow adequate time for production. Mail & Printing Services will also handle
arrangements for campus mailings.

F. PHOTOCOPY SERVICE

Photocopying machines are located in Feigenbaum Hall (for administrative use) and
in the College Center, the Library, and Steinmetz Hall Room 209 (for faculty and
staff use). Charges are made against departmental budgets when the service is
used. (Cash copying for personal use is available in the Library and Steinmetz
Copy Center.) The Copy Center also offers a FAX machine and laser printing for
either departmental use or cash.

1. Policy on Use of Duplicating Machines

Use of offset press and photocopying machines located in departmental offices
are subject to the following restrictions:

a. The work of the office where the machine is located has priority.
b. No duplicating on behalf of a political candidate or party is permitted.
c. No use is permitted for commercial purposes other than that of promoting approved college events.

d. No time of secretaries or clerks may be requested except as approved by the person to whom the secretary or clerk reports.

e. Users are responsible for observance of copyright law.

G. STUDENT EMPLOYMENT

The Financial Aid Office coordinates the employment of students in part-time jobs within the College during the academic year. Students who have work as part of their financial aid package are given priority as jobs become available. Student Supervisors should contact the Financial Aid Office to review applications on file. Student Payroll Forms must be completed and signed by Department Heads for each student hired.

For more detailed information contact the Financial Aid Office.
SUNDRY MATTERS

I. TRAVEL

A. FACULTY

The Dean of Arts and Sciences and the Dean of Engineering administer the budgets for faculty travel. Any member of the faculty who attends a meeting of a national learned society as a national officer, to read a paper, to serve as an invited participant in a panel discussion, or presents an invited paper at a learned symposium within the contiguous United States and Canada, is ordinarily entitled to receive reimbursement from the College for some expenses as described below.

-- Travel to and from the conference by the most direct route by the use of either coach class or the lowest appropriate fare at the time of booking.
-- Travel to and from the conference by self-owned auto at the current college mileage rate, the total amount not to exceed air fare.
-- Grants for international travel and travel to Alaska and Hawaii are at the discretion of the Dean of the Faculty and shall not exceed the cost for coast-to-coast travel within the United States.
-- A per diem of $90, prorated for half days.
-- Registration fees.

Grants to any particular faculty member in the course of a year shall not normally exceed the approximate cost for coast-to-coast travel within the United States plus a per diem for three days.

If a share of travel expenses or honorarium is paid by the conference host, the faculty member is obligated to claim remuneration from the College sufficient to meet only the difference between what the host provides and the allowable amounts enumerated above.

Faculty members representing the College at meetings, installations, etc., may have their actual travel expenses fully reimbursed.

The Dean of Arts and Sciences and the Dean of Engineering administer modest budgets for travel to meetings, workshops, symposia, etc. for members of the faculty even though they may not be active participants in the program. The purpose of this fund is to enhance and encourage the professional development of members of the faculty, especially in areas in which they have not yet reached the point where they can be reasonably expected to present papers at the meeting. Such grants will be made at the discretion of the Dean of the Faculty. Applications should be made well in advance, and will be evaluated on their merits, subject to the availability of
budgeted funds. For these purposes, a maximum of $400 total to any one member of the faculty per year has been imposed.

Faculty members who are completing the terminal year of an appointment are not eligible for travel support after June 30 of the terminal year.

B  TERMS ABROAD

When faculty members travel outside the continental United States to teach in the Union College Terms Abroad Program, the College will pay the full cost of the lowest available airfare for the faculty member. In determining lowest available airfare, consideration should be given to
-- Domestic vs. Foreign Carriers.
-- Using consolidators.
-- Completing reservations as soon as possible after receiving the Term Abroad assignment.
-- Avoiding having to change departure and return times or dates.

When a spouse accompanies the faculty member for the entire term, the College may pay the full cost of the lowest available airfare for the spouse if he or she assists in directing the program.

The College will not pay for any increased airfare that results from stopovers for personal (non-business) reasons.

Any exceptions to the above policy must be approved by the Dean of the Faculty.

C.  ADMINISTRATIVE STAFF

Travel on college business will be remunerated as follows: the most direct route by either coach class or the lowest appropriate fare at the time of booking, actual surface transportation costs, actual hotel costs, actual meal costs. Judgment should be exercised in keeping costs in line.

II.  POLICIES AND PROCEDURES FOR TRAVEL AND EXPENSE REIMBURSEMENT

A.  PURPOSE

To provide guidelines to employees for the accounting and reporting of reasonable travel-, living- or faculty grant-expenses to be reimbursed in accordance with College policy.
B. POLICY

In accordance with the College's travel and expense policy, employees will be reimbursed for reasonable expenses incurred in the normal course of activity. Moderate travel, cars, meals and living accommodations, etc., are considered reasonable expenses. Reimbursement will be based on an actual or per diem basis as designated by Responsibility Center. Reimbursement will be made on a per trip, event, or grant basis upon submission of a properly approved Expense Report.

The form should be all inclusive, showing all expenses pertinent to the trip, grant, etc. In the event that expenses exceed allowable limits, the summary section should report the actual total. In such cases, the reimbursement request will not equal the amount shown as "Due To" the employee.

All air and rail reservations must be arranged through either Albany Travel, Stockade Travel, Trevi Travel or Woodside Dorp Travel to obtain fares at the most advantageous rates. These agencies should also be used for car rentals and hotel accommodations.

As employees of the College, all faculty and administrators qualify for an American Express card. Application is through the College; however, the card is the personal property of the employee and charges will be billed to the employee directly. Expenses incurred for College activity should be charged to the employee's College-issued American Express card. College prepayments such as conference registrations and the like should be submitted to the Purchasing Office for payment and should be shown as a College Payment in the summary section of the Expense Report to include all expenses applicable to the trip, grant, etc.

The College will not issue advances in excess of $125 for any trip, grant, etc. Therefore, in the event that the employee has elected not to receive an American Express card, a personal credit card or personal cash must be used.

C. PROCEDURES

1. Advances

   a. When required, the Cashier will issue advances (not to exceed $125) to employees upon receipt of a completed Advance Request Form.

   b. Advances should not be drawn more than two working days before needed.

   c. All cash advanced is the personal responsibility of the requestor. Money lost, stolen, misplaced, used for non-reimbursable expenses, or otherwise
unaccounted for must be repaid by the individual drawing the cash advance.

d. All Advance Requests will be charged against a holding account in the requestor's name. Upon submission of the Expense Report and the return of any unspent funds, the employee's budget account will be charged for actual expenses and the holding account cleared.

e. The Finance Office will issue statements quarterly as reminders of outstanding advances.

f. In cases where employees have not accounted for an advance within 15 days, no additional advances will be processed on their account.

2. Reimbursements

a. Employees will be reimbursed upon submission of a properly completed and approved Expense Report.

b. Reimbursement will be based on an actual or per diem basis as designated by Responsibility Center.

c. Employees may request reimbursement for expenses incurred prior to the actual trip, such as airfare. The Expense Report should be separate from all other travel and should show the actual trip date.

d. In the event that expenses exceed the allowable reimbursement limit, actual total expenses should be reported. In such cases, the reimbursement request will not equal the amount shown as "Due To" the employee.

e. The amount of the reimbursement requested cannot exceed the total accounted for on the Expense Report.

3. Expense Reports

a. Expense Reports require a breakdown of the business purpose and the exact amount and date of the expense and must be accompanied by original receipts. All expenses over $10.00 must be substantiated.

b. The final Expense Report should be all inclusive, showing all expenses pertinent to the trip, grant, etc., including College payments and related expenses previously reimbursed.
c. Expense Report Approvals:

(1) All Expense Reports require approval by the department head, director, or Dean responsible for the account to be charged.

(2) In cases where the department head, director, or Dean is requesting reimbursement or when the total expenses exceed $500, the Responsibility Center Head or Finance signature is required as second approval.

d. Expense Reports should be filed within five working days of the completion of the trip. In-town expenses should be filed once a month.

4. Documentation

a. Air/Rail  Original copy of Itinerary/Invoice or original copy of passenger coupon
b. Hotel  Hotel bill plus original payment receipt
c. Car Rental  Car rental agreement and proof of payment
d. Meals/ Miscellaneous  Cardmember copy of credit charge or cash register receipt

III. PURCHASING PROCEDURE

All significant expenditure commitments for the College are made by or with the cooperation of the Purchasing Office. No individual member of the Staff or Faculty may purchase supplies, materials, equipment or services without complying with the procedures and guidelines as described in the Purchasing Manual.

The Purchasing Manual explains the proper actions for preparing various purchasing documents including the requirements for competitive bidding.

The approved methods for acquiring goods or services for the College are by Limited Purchase Orders (orders totaling $500 or less), Purchase Requisition/Orders (orders totaling more than $500) and Check Requests (when prepayment is required or when a purchase order is not normally required).

Since Union College is exempt from New York State Sales and Use Tax, the Purchasing Office issues exemption certificates as required.
IV. **USE OF VEHICLES**

A. **CAMPUS VEHICLES**

In instances involving authorized travel by car, College employees may use the College-owned vehicles. Arrangements for use of these vehicles are made through the Physical Plant Office (Extension 6181), and car, keys, and vouchers should be picked up at and returned to the Physical Plant Building. The department authorizing travel will be charged at the current authorized rate. A person authorized to drive a College-owned vehicle must possess a valid operator's license, and must carry it when driving a College vehicle.

B. **PERSONAL CARS ON COLLEGE BUSINESS**

When an employee or student uses a personal car on college business, whether reimbursed or not by the College, the insurer of that car provides the primary coverage in the event of an accident up to the limits of the policy. The College's insurance provides secondary coverage when and if the judgment exceeds the limits of primary coverage.

If personal cars are authorized for use of college business, mileage will be reimbursed at the current college mileage rate plus tolls and parking fees. In addition, the College requires that owners carry a minimum of $50,000 Property Damage and $100,000/$300,000 Public Liability (Bodily Injury) insurance. It should be understood, however, that, in requiring these minimum amounts, the College is not thereby recommending these limits as providing adequate personal coverage.

C. **CAR RENTAL PROGRAM**

The College has designated Hertz as the preferred provider for business car rentals. Daily rates include unlimited mileage, extended liability coverage (100,000/300,000/25,000) and free loss damage coverage (free loss damage coverage applies only to business rentals). In addition, Hertz provides these services:

- Free #1 Club Gold Service (normally $50 per year) for all employees who complete the enrollment agreement. At 30 major U.S. airports this means no stopping at any counter, no signing of any rental agreement, no searching for the car, and no waiting for the car to warm up or cool down.
- Computerized driving instructions, flight monitors, and instant return services.
- Emergency road service 24 hours per day, every day of the year.
- Promotional programs with American Express and several airlines.

To utilize this program (for business or personal use), you may contact Hertz directly or deal with any of the travel agencies handling air travel for the College. Be sure to provide the Union College CDP-ID number which is 84231. Each time
a reservation is made an automated system (RC Best) compares our corporate rate with all published promotional rates, and we receive the lowest rate available.

Travelers should always use Hertz for business travel, unless another rental company provides a lower rate and the extended liability coverage. The other company must also waive loss damage to the rented vehicle.

If you wish to enroll in the #1 Club Gold program, please contact Personnel (Extension 6108) to obtain an enrollment agreement.

V. **COLLEGE INSURANCE - LIABILITY**

The insurance protection of the College for the various liability risks inherent in our operation can be defined only in generalities because each individual situation becomes subject to evaluation. General conditions are described here.

It should be noted at the outset that the liability of the College or its insurance company for payment of any damage is based on judgment by a court, or by out of court negotiations, that the College or its agents were negligent. Limits of insurance coverage will not be listed, but are considered adequate.

A. **AUTOMOBILE**

The College insurance would be the prime defendant in any action for damages involving College-owned vehicles. It is assumed the College cars are used only on legitimate College business within the regulations and policies defined by the College. Other than authorized legitimate use could result in counter suit by the College against the individual so using the vehicle.

B. **GENERAL LIABILITY**

Adequate insurance coverage is carried by the College to protect the College and anyone acting on behalf of the College as an authorized representative in the legitimate business of the College. This includes field trips, research program work, visitors to our facilities, as well as travel within the guidelines above.

VI. **DECLINATION OF SALARY OR STIPEND**

In any case in which an employee (part-time or full-time) or speaker wishes to give any or all of a salary or stipend received from the College back to the College, it will be necessary for the following two conditions to pertain:

-- The salary or stipend must be offered to the employee or speaker in writing prior to the written indication from the employee or speaker that he or she wishes to return all or part of the salary or stipend to the College.
A written declination to accept any or all of the fund must be obtained. It is possible for the donor in this case to designate the use of such foregone funds, and any such designation will accompany the written declination.

The employee or speaker must be notified in writing that the entire salary or stipend will be reported to the Internal Revenue Service.

The written offer and declination should be passed on to the Comptroller's office for processing and coordination with the Gift Records Office.

VII. FACULTY RESEARCH

A. RESOLUTION ON CONSULTANCIES AND PAID RESEARCH WORK (Board of Trustees Minutes, January 13, 1970)

The fundamental obligation of the faculty member is to the College, and the College regards its contract as one for full-time employment. Recognizing, however, the value of faculty services to the larger community and the value of work "in the field" to faculty members, the College allows faculty members to spend not more than the equivalent of one day's time of each working week during the teaching year in consultancies and research for which outside remuneration is received. In return, the College expects (1) that such remunerated employment will be of character to improve the learning and skill of the faculty member and, by that, to increase his/her value as a teacher, and (2) that it will not in any way interfere with the full and punctual fulfillment of teaching responsibilities.

Faculty members engaged in remunerated consultancies or research work are obligated to report the nature, duration, and contractor to the Dean of Arts and Sciences or the Dean of Engineering as appropriate and to obtain approval from the Department Head and Dean prior to entering into any contract.

B. PATENTS

The College has negotiated an agreement with the Research Corporation of New York City for the management of any patentable inventions resulting from research or other activities on the campus. The provisions cited below presumably cover all contingencies.

1. Patent rights resulting from research carried on by staff members or students in connection with projects supported entirely or largely by College resources shall be assigned to and controlled by the College, which shall give to the inventor 15% of the gross financial returns from the sale or exploitation of such patents.

2. Patents resulting from inventions and discoveries made by staff members or by students in the course of their personal research and with little or no use of
College resources shall be the sole property of the inventors. If patentable discoveries arise during the course of research in which the Faculty Patents Committee determines that the College has no interest, the discoverers or inventors thereof shall be promptly so notified and the College shall release any interest which it may have in such discoveries.

3. A faculty or staff member may elect to have the invention administered as in Paragraph 1, in which case, the inventor’s share and other particulars become consistent with that arrangement.

4. Research carried on by a student in fulfillment of course requirements or other requirements for an academic degree, including the preparation of a thesis or dissertation, shall be construed as making use of College resources and shall be subject to the provision of Paragraph 1, above.

5. Patents resulting from inventions or discoveries made by members of the staff or by students in connection with government-sponsored research contracts, grants, fellowships or other such agreements, shall be controlled by the terms of those agreements. Staff members performing government-sponsored research shall execute such arrangements as will enable the College to meet its obligations to the sponsoring agencies.

6. The President shall appoint a Committee on Patents, composed of both Faculty members and administrative officers, whose responsibility it shall be (a) to review the circumstances surrounding the making of the inventions, (b) to determine the respective equities of the inventors and of the College, also of outside parties in the case of inventions resulting from collaborative or sponsored research, and (c) with respect to each invention, to make its recommendations to the President for financial decision.

7. Net income derived by the College from patents shall ordinarily be devoted to research within the College, with preference given to the departments, schools, or Centers in which the patents originated.

8. Members of the faculty shall be free to make their own agreements respecting patent rights arising out of consulting contracts for services outside the College, and these shall be governed solely by the mutual understanding of the parties thereto. The Dean shall be notified of all patents attributable to such agreements by the researcher involved.

9. The agreement by Research Corporation and Union College provides that, on all discoveries of prospective inventions submitted to it, Research Corporation will make a report to the College and the inventor as to the patentability and commercial feasibility of the particular invention or discovery without cost
either to the inventor or to the College, and in the event they proceed to patent items determined to be patentable and commercially feasible, Research Corporation will bear all the cost involved in patenting, developing and licensing the patents. The income developed through Research Corporation's commercialization of each invention is shared with the institution and with the institutional inventor, with the entire net share of the foundation's portion being distributed as grants-in-aid in support of scientific research.

10. The provisions of this policy may be changed or discontinued at any time by action of the Board of Trustees appropriately taken. Such change or discontinuance, however, shall not affect any rights heretofore accrued under this policy.

C. UNION COLLEGE POLICY FOR INVESTIGATING SCIENTIFIC MISCONDUCT

Union College has instituted a committee to provide for an impartial procedure to prevent scientific misconduct and to implement policies established by the Departments of Health and Human Services and Public Health Service. Members of the committee are: the Associate Dean for Undergraduate Education (Chair), the Chair of the Biology Department and the Chair of the Chemistry Department.

Union College policy requires that
-- The principal investigator submit reports of materials and methods of all experiments in progress once per year.
-- All abstracts to be submitted for publication or for presentation at technical meetings be reviewed by the committee.
-- The committee will make recommendations to the principle investigator.
-- The committee will make recommendations to the Dean of the Faculty who will sign a cover letter assuring that the committee has reviewed papers and abstracts and has found them free of scientific fraud.

Union College also agrees to
-- Provide impartial process for receipt of allegations of scientific misconduct and for initiating immediate inquiry into each allegation.
-- Complete each inquiry within 60 calendar days from receipt of allegation, including preparation of a written report.
-- Maintain detailed documentation of an inquiry for at least three (3) years, which must, upon request, be provided to authorized Health and Human Services personnel.
-- Initiate an investigation within 30 calendar days of the completion of an inquiry, if findings from that inquiry provide sufficient basis for conducting an investigation.
-- Complete an investigation within 120 calendar days.
-- Select impartial experts to conduct inquiries and investigations.
-- Take precautions against real or apparent conflicts of interest in an inquiry or an investigation.
-- Afford the affected individual(s) confidential treatment to the maximum extent possible, a prompt and thorough investigation, and an opportunity to comment on allegations and findings of the inquiry and/or the investigation.
-- Notify the Public Health Service's Office of Scientific Integrity, at the National Institutes of Health, that an investigation will be conducted.
-- Notify the Office of Scientific Integrity within 24 hours of obtaining a reasonable indication of possible criminal violations.
-- Prepare and maintain the documentation to substantiate an investigation's findings for at least three (3) years after the Public Health Service's acceptance of the final report.
-- Take appropriate interim administrative actions to protect Federal funds and ensure that the purposes of the Federal financial assistance are being carried out.
-- Promptly advise the Office of Scientific Integrity of any developments during the course of the investigation which disclose facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the Public Health Service needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.
-- Make efforts to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed.
-- Protect to the maximum extent possible, the positions and reputations of those persons who, in good faith, make allegations of scientific misconduct, and those against whom allegations of misconduct are not confirmed.
-- Impose appropriate sanctions on individuals when the allegation of misconduct has been substantiated.
-- Notify the Office of Scientific Integrity of the final outcome of the investigation with a written report that thoroughly documents the investigative process and findings.
-- Inform the scientific and administrative staff of the policies and procedures and the importance of compliance with those policies and procedures.

VIII. EMPLOYEE PARKING

A. VEHICLE REGISTRATION

All motorized vehicles (autos, trucks, vans and motorcycles) brought to the campus by students, faculty or staff must be registered with the Campus Safety Department by the end of the first week of class of a given academic year, or within 48 hours after the owner/operator brings a new vehicle to campus. First-year students
enrolled full-time in the regular undergraduate program, except those living at home, are not permitted to have any vehicle on the campus during their first year.

There will be a $15 registration charge per vehicle for the privilege of parking a vehicle on campus. If the owner/operator wishes to register more than one vehicle at a time, there will be a $15 charge for each additional vehicle. At the time of registration, students and employees will sign an agreement that they will abide by College driving and parking regulations or be subject to an appropriate fine. Alleged violations may be appealed, in writing, to the Parking Appeals Committee (composed of faculty, students and staff) within seven days of receipt of a violation notice.

All fines remaining unpaid at the end of a term will be added to students' bills for a subsequent term. Students with unpaid fines remaining on their accounts will not be permitted to graduate until payment is made. All employee fines remaining unpaid at the end of a term (following written notice to the employee) will be deducted from the next paycheck.

B. FAILURE TO REGISTER A VEHICLE

An unregistered vehicle on the College Grounds will be subject to the following:

1st Violation: The owner/operator will be notified that the vehicle must be registered within 48 hours.

2nd Violation: $25 fine. The vehicle must be registered within 48 hours.

3rd Violation: $50 fine and towing charge. The vehicle will be towed to another campus location and booted until the towing charge is paid, and the owner/operator will lose campus parking privileges for a one year period.

C. OTHER VIOLATIONS

Driving on Grass or Pedestrian Walk: $25 fine.

Reckless Driving and Speeding: (Exceeding the campus speed limit of 15 MPH on roadways, or 5 MPH in parking lots) $50 fine.
Parking in Handicapped Space (without permit):

1st Violation: $25 fine.

2nd Violation: $50 fine and towing charge. The vehicle will be towed to another campus location and booted until the towing charge is paid, and the owner/operator will lose campus parking privileges for a one year period.

All campus roadways are considered fire lanes. A vehicle parked in a fire lane, creating a hazard, blocking access to others, or parked in an improper designated lot, will be subject to a $25 fine and towing.

Parking is permitted only in the prepared parking areas. No parking is allowed on roads, sidewalks or grass, in front of walks, driveways and entrances. Faculty and Staff parking is not permitted in student or visitor parking areas. There may be an occasion when it is necessary to load and/or unload supplies and equipment from your personal vehicle that would require parking along the roadways. In these instances contact Campus Safety (Extension 6911) and advise them of the circumstances, length of time needed to load/unload, and vehicle description. Campus Safety will allow a reasonable time to accomplish your task. After the load/unload task is completed, your vehicle needs to be moved to an appropriate parking area.

IX. USE OF COLLEGE FACILITIES

To reserve a campus facility for other than regular class use, call the Central Scheduling Office (Extension 6098). All campus space is booked through this office to prevent conflicts. The Policy and Guidelines and the Event Booking Procedures are on the College's Web page under the heading "Campus Calendars--Scheduling Information and Procedures."

X. REGULATIONS OF UNION COLLEGE GOVERNING CAMPUS CONDUCT
(Approved by the Board of Trustees of Union College on April 16, 1994)

A. STATEMENT OF PURPOSE

Under Section 6450 of the Education Law, every college chartered by the Regents of the State of New York is required to adopt rules and regulations for the maintenance of public order. In June of 1969, the Regulations of Union College, as approved by the Board of Trustees, were filed with the Commissioner of Education and the Board of Regents. It has now become necessary to amend those Regulations to clarify their scope and applicability. Nothing herein is intended, nor shall be construed, to limit or restrict the freedom of speech or peaceful assembly, since free inquiry and free expression are indispensable to the objectives of a higher
educational institution. These rules and regulations are not to prevent or restrain controversy and dissent but to prevent interference with the rights of others, to preserve the ability of members of the College community to perform their respective responsibilities, and to maintain that public order appropriate to a college or university campus without which there can be no intellectual freedom, and they shall be interpreted and applied to that end.

B. APPLICATION OF RULES

The rules hereby adopted shall govern the conduct of students, faculty, and staff, licensees, invitees, and all other persons, whether or not their presence is authorized upon the Union College campus, to which such rules are applicable, and all property under the control of Union College.

C. PROHIBITED CONDUCT

No person, either singly or in concert with others, shall

1. Obstruct the free movement of persons and vehicles in any place to which these rules apply.

2. Deliberately disrupt or prevent the peaceful and orderly conduct of classes, lectures, and meetings or deliberately interfere with the freedom of any persons to express their views, including invited speakers.

3. Enter upon and remain in any building or facility for any purpose other than its authorized uses or in such manner as to obstruct its authorized use by others, remain (without authorization) in any building or facility after it is normally closed, or refuse to leave any building or facility after being asked to do so by an authorized administrative officer.

4. Violate any rules or regulations relating to conduct as enumerated in the Student Conduct Code contained in the Student Handbook filed with the Commissioner of Education and the Board of Regents.

5. Willfully incite others to commit any of the acts herein prohibited with specific intent to encourage them to do so.

D. PENALTIES

A person who shall violate any provisions of these rules shall

1. If a trespasser or visitor without specific license or invitation, be subject to ejection.
2. If a licensee or invitee, have authorization to remain upon the campus or other property withdrawn and be directed to leave the premises. In the event of a failure or refusal to do so, the licensee or invitee be subject to ejection.

3. If a student, be subject to expulsion or such lesser disciplinary action as the facts of the case may warrant, including suspension, probation, loss of privileges, reprimand, or warning.

4. If a faculty member, be guilty of misconduct and subject to dismissal or termination of employment or such lesser disciplinary action as the facts may warrant, including suspension without pay or censure.

5. If a staff member, be guilty of misconduct and subject to dismissal or termination of employment or such lesser disciplinary action as the facts may warrant, including suspension without pay or censure.

6. In the case of any other member of the College community who shall violate any provision of these rules, that person shall be dismissed, suspended, or censured by the President.

E. PROCEDURES

Pending adjudication of the matter by the appropriate authorities (see below), members of the College community deemed to have violated these rules will be subject to immediate suspension from the College as determined by the President or the President's designee.

1. In the case of a trespasser or visitor who shall violate any provisions of these rules, the President or the President's designee shall inform the trespasser or visitor that the violator is not authorized to remain on the campus or other Union College property and direct that person to leave such premises. In the event of a failure or refusal to do so, the President or the President's designee shall cause the violator's ejection from such campus or property under the control of the College. Nothing in this subdivision shall be construed to authorize the presence of any such person at any time prior to such violation nor to affect that person's liability to prosecution for trespass or loitering as prescribed in the Penal Law.

2. In the case of a licensee or invitee, the President of the College or the President's designee shall inform the licensee or invitee that the person's license or invitation is withdrawn and direct that person to leave the campus or other property of Union College. In the event of a failure or refusal to do so, the President or the President's designee shall cause the ejection of the violator from such campus or property under the control of the College.
3. In the case of a student, charges for violation of any of these rules shall be presented, heard, and determined in accordance with the Procedural Guidelines for Adjudicating Against Individuals as set forth in the Student Conduct Code.

4. In the case of a faculty member, charges of misconduct in violation of these rules shall be made and heard before a committee, the majority of whom must be faculty members, that is appointed by the President. The President shall also appoint an impartial chairperson from the committee. The purpose of the committee is to ascertain the facts of individual cases and make recommendations to the President for ultimate disposition of the charges. It is recognized that the hearing need not conform to requirements of criminal or civil procedure and/or proof. The intent of the procedure is to provide the faculty member with a fair hearing before peers, to give that person the opportunity to respond to any charges, and to question any witnesses appearing before the committee. Within this framework, the committee chairperson may conduct the hearing and make necessary adaptations to fit particular circumstances. The faculty member may bring a member of the College community to the hearing as an adviser. The role of the adviser will be limited to consulting with the faculty member in the course of the hearing. The adviser will not be permitted to represent (speak for, take the place of, etc.) the faculty member during the hearing or cross-examine witnesses.

5. In the case of any staff member in violation of these rules, charges of misconduct in violation of these rules shall be made, heard, and determined in accordance with the Staff Manual.

6. In the case of any other member of the College community who shall violate any provision of these rules, charges of misconduct in violation of these rules shall be made, heard, and determined by the President or President's designee.

F. ENFORCEMENT

1. The President of the College shall be responsible for the interpretation and enforcement of these rules and shall designate the other administrative officers who are authorized to take action in accordance with such rules when required or appropriate to carry them into effect.

2. It is not intended by any provision herein to curtail the right of students, faculty, or staff to be heard upon any matter affecting them in their relations with Union College. In the case of any apparent violation of these rules by such persons who, in the judgment of the President or the President's designee, do not pose any immediate threat of injury to person or property, the President or the President's designee may make a reasonable effort to learn the cause of the conduct in question and to persuade those engaged therein to desist and to
resort to permissible methods for the resolution of any issues which may be
presented. In doing so, the President or the President's designee shall warn
such persons of the consequences of persistence in the prohibited conduct
including their ejection from any premises of Union College where their
continued presence and conduct is in violation of these rules.

3. In any case where violation of these rules does not cease after such warning
and in other cases of willful violation of such rules, the President or the
President's designee shall cause the ejection of the violator from the campus
and shall initiate disciplinary action as hereinbefore provided.

4. The President or the President's designee may apply to the public authorities
for any aid which is deemed necessary to cause the ejection of any violator of
these rules.

XI. POLICY REGARDING COLLECTIVE BARGAINING

Changes in New York State law, effective April 1, 1969, provided that if faculty and/or
staff, in accordance with the procedures for election, decide they want a bargaining
agent to represent them, the institution of higher education (their employer) must enter
into collective bargaining negotiations with the representative(s) certified by the Public
Employees Relations Board. Subsequently, in 1970, the National Labor Relations Board
asserted jurisdiction over Cornell and Syracuse Universities and indicated that it would
assert jurisdiction over other private educational institutions with disposable income over
$1,000,000. Before certification will be made by the NLRB, it is necessary that the
bargaining agent be voluntarily recognized by the College or that it prove its representa-
tion of the employees to NLRB.

Union College recognizes the right to organize within the law and, should such organi-
zation occur, will bargain in good faith with certified representatives. We believe,
however, that the character of our institution permits and, indeed, has provided excel-
lent relationships with faculty and staff without collective bargaining. The flexibility
thus available to both the institution and to the individual is highly desirable. We think
collective bargaining agreements tend to force rigidity and eliminate the opportunity for
consideration of special situations and are not, therefore, in the interest of our faculty
and staff.

Should bargaining election nevertheless be demanded, the College will exercise all of its
rights and prerogatives so as to provide an atmosphere for fair choice in such election on
the part of each person voting. The College reserves the right to express its beliefs as to
the propriety of the bargaining unit and all issues which may be raised.

The Vice President of Finance of the College is responsible for labor relations at Union.
All inquiries and representations must be made directly to that office.
APPENDIX I
RANDOM SAMPLING PROCEDURE

1. Ad hoc committee should obtain from the Registrar’s Office grade rosters of all classes taught by the candidate not included in the reappointment review—typically seven terms: S;FWS;FWS.

2. Using the alphabetical order of the students on the grade roster, assign each student a number. In a class of 20, Aaron Aaronsen would probably be #1, Zelda Zychinski #20. Choose students according to the random numbers provided in one of the three accompanying tables, using the appropriate class size cohort. Use different tables for various classes so that all three tables are used at least once. If a random number is greater than the number of students in the class, ignore it and go to the next number.

3. Try to obtain three or four students from each class. Treat laboratory sections as separate classes. You will need more than four random numbers, since some students will be sampled repeatedly and some students will be unavailable. If you run out of random numbers, start using the numbers for the next larger class size cohort, ignoring repeated random numbers. If none of the candidate’s research (thesis and independent study) students is in the selected pool, combine them all and sample them as a separate class.

4. It is expected that at least 60% of the students and alumni selected should respond. The ad hoc committee should try to keep the response rate as high as possible, through letters, follow-up letters to alumni and phone calls to on-campus students. Aim toward interviewing between 20 and 25 on-campus students, and receive as high a percentage of alumni responses as possible. In the case that the total percentage falls below 60%, the committee must rely even more heavily on the college-wide student questionnaires in their evaluation of teaching.

5. The ad hoc committee should provide a summary of the characteristics of responding students and alumni. Summarize their graduating class, major, grade received in the course, sex and class size. The committee should also indicate the percentage of those responding from those originally selected by the random sampling procedure. The committee should also note in the statement of procedures any deviation from the above procedure used to select the sample.
Table of Random Numbers to be Used to Select Students  
(Use numbers from left to right)

<table>
<thead>
<tr>
<th>Class size</th>
<th>Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-10</td>
<td>5  2  10 3  8  7  9  1  6  4</td>
</tr>
<tr>
<td>11-15</td>
<td>5  7  14 15 10 13 9  3 11 12</td>
</tr>
<tr>
<td>16-20</td>
<td>8  20 5  14 2  16 12 15 1  7</td>
</tr>
<tr>
<td>21-25</td>
<td>12 21 16 24 25 23 4  5 20 22</td>
</tr>
<tr>
<td>26-30</td>
<td>8  14 30 22 5  6 17 3 11 19</td>
</tr>
<tr>
<td>31-40</td>
<td>6  25 15 18 17 37 36 21 4  5</td>
</tr>
<tr>
<td>41-50</td>
<td>29 19 3  6 14 37 23 9 25 24</td>
</tr>
<tr>
<td>51-75</td>
<td>48 23 69 32 51 29 9 47 35 17</td>
</tr>
<tr>
<td>76-100</td>
<td>56 75 19 81 28 87 64 95 1 51</td>
</tr>
<tr>
<td>101-125</td>
<td>29 56 73 23 70 89 42 61 103 82</td>
</tr>
<tr>
<td>126-150</td>
<td>67 82 127 14 22 18 107 4 1 47</td>
</tr>
<tr>
<td>(cont.)</td>
<td>5 147 42 93 9 139 103 1 12 6</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Class size</th>
<th>Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-10</td>
<td>10  1  4  7  6  3  5  9  2  8</td>
</tr>
<tr>
<td>11-15</td>
<td>2  13 3  12 15 10 5  4 6  11</td>
</tr>
<tr>
<td>16-20</td>
<td>6  12 5  20 11 18 15 7  2 19</td>
</tr>
<tr>
<td>21-25</td>
<td>21 25 19 16 18 14 24 22 11 5</td>
</tr>
<tr>
<td>26-30</td>
<td>28 12 6  7 27 4 26 20 30 25</td>
</tr>
<tr>
<td>31-40</td>
<td>7  4 17 6  28 26 27 10 1 32</td>
</tr>
<tr>
<td>41-50</td>
<td>31 36 25 13 21 19 30 35 48 33</td>
</tr>
<tr>
<td>51-75</td>
<td>60 44 48 59 49 39 8 43 31 29</td>
</tr>
<tr>
<td>76-100</td>
<td>92 65 53 62 63 84 47 70 44 17</td>
</tr>
<tr>
<td>101-125</td>
<td>52 119 95 77 62 78 96 49 38 102</td>
</tr>
<tr>
<td>126-150</td>
<td>82 85 123 102 109 23 51 63 118 22</td>
</tr>
<tr>
<td>(cont.)</td>
<td>50  4 15 72 1 68 119 125 115 24</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Class size</th>
<th>Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-10</td>
<td>8  3  9  7  2  1  5  6  4 10</td>
</tr>
<tr>
<td>11-15</td>
<td>12  6  3  7  2 13 4  9  8 10</td>
</tr>
<tr>
<td>16-20</td>
<td>9  18 16 12 7  1 19 14 17 6</td>
</tr>
<tr>
<td>21-25</td>
<td>3  25 9  15 10 21 14 4  7  5</td>
</tr>
<tr>
<td>26-30</td>
<td>10 6 15 1  2 12 9 25 30 13</td>
</tr>
<tr>
<td>31-40</td>
<td>11 40 2 10 24 14 9 27 17 6</td>
</tr>
<tr>
<td>41-50</td>
<td>17 34 32 49 15 37 7  5 39 18</td>
</tr>
<tr>
<td>51-75</td>
<td>62 73 56 54 24 50 57 35 29 21</td>
</tr>
<tr>
<td>76-100</td>
<td>98 95 96 35 88 50 25 97 4 34</td>
</tr>
<tr>
<td>101-125</td>
<td>5  22 23 60 76 3 55 96 48 36</td>
</tr>
<tr>
<td>126-150</td>
<td>112 150 117 9 115 83 43 40 104 3</td>
</tr>
<tr>
<td>(cont.)</td>
<td>25 68 74 87 11 18 37 118 92 77</td>
</tr>
</tbody>
</table>
APPENDIX II
SUGGESTED LETTER TO STUDENTS

Dear ____________:

You are invited to participate in a formal review of the teaching capability and effectiveness of Professor ____________.

In the near future you will be called on to arrange a meeting, with members of Prof. _______'s ad hoc committee, at which you may present oral testimony concerning your experience in Prof. _______'s classes. To guide the discussion, the ad hoc committee requests that you bring to this meeting a letter in which you evaluate Prof. _______'s teaching performance according to criteria below. If you wish to give only a signed written evaluation, you may do so. Your oral and written testimony will be held in strictest confidence.

Nothing is more important to the vitality of an academic institution than the maintenance of a strong and committed faculty. Therefore, the College must conduct thorough and fair evaluations of faculty performance to ensure that faculty quality remains high. The College recognizes the right of the student to participate in the evaluation process. In turn, there is a strong hope on the part of the College that current and former students will exercise this right when asked to participate and will do so in a thoughtful manner. Your views and those of your fellow students and alumni constitute the major portion of the evidence used in the teaching evaluation.

As a guide to aid you in preparing your written evaluation, the committee asks that you reflect on the questions below before you begin to write. Your letter should then address any or all of those questions that seem appropriate based on your experience. Please feel free to include information that you believe is pertinent to the evaluation but that is not covered in the guide questions. If you are among those writing a senior theses under Prof. _______'s direction, please make it a point to comment candidly upon that experience, emphasizing especially the quality of Prof. _______'s advice and the value of the thesis as a learning experience.

1. What did you perceive to be the major strengths and weaknesses of Prof. _______'s teaching? Did you find him/her to be sufficiently knowledgeable in the subject area? Was he/she generally prepared? Were his/her lectures and discussions adequately organized?

2. Was your academic performance adequately evaluated by Prof. ______? Did you find that his/her course(s) presented a sufficient academic challenge? Was the course taught in such a way that your ability to think critically and analytically was developed? Was your ability to think creatively equally developed? How much independent thinking was encouraged?
3. Would you take another course from Prof. _____, assuming that your schedule would permit you to do so?

4. Has what you learned in your course(s) with Prof. _____ been useful to you? If so, in what sense? Can you imagine what difference it might make to you in your future endeavors that you took a course or courses with Prof. _____?

5. How would you characterize the rapport that Prof. _____ had with his/her students? Was he/she available to provide help outside of class if and when you needed it?

When answering these questions it is important that you include, wherever possible, specific reasons for your responses. These responses should be frank but devoid of cruelty and gossip.

The committee would like to thank you in advance for the time you will spend in this vitally important process. In order for this review procedure to be effective, the College must depend upon your willingness to participate and to exercise mature judgment.

Sincerely,
APPENDIX III
SUGGESTED LETTER TO ALUMNI

Dear ____________:

You are invited to participate in a formal review of the teaching capability and effectiveness of Professor ____________.

Although you have left Union and gone on to other endeavors, your opinions and experiences while you were a student here remain important to us. Therefore, you have been selected as a part of a sample of alumni invited to participate in a formal review of the teaching capability of ________, Assistant Professor of ________. Our records show that you took one or more courses with Prof. ___ during your time at Union.

Nothing is more important to the vitality of an academic institution than the maintenance of a strong and committed faculty. Therefore, the College must conduct thorough and fair evaluations of faculty performance to ensure that faculty quality remains high. The College recognized the right of the student to participate in the evaluation process. In turn, there is a strong hope on the part of the College that current and former students will exercise this right when asked to participate and will do so in a thoughtful manner. Your views and those of your fellow students and alumni constitute the major portion of the evidence used in the teaching evaluation.

As a guide to aid you in preparing your written evaluation, the committee asks that you reflect on the questions below before you begin to write. Your letter should then address any or all of those questions that seem appropriate based on your experience. Please feel free to include information that you believe is pertinent to the evaluation but that is not covered in the guide questions. If you were among those who wrote a senior thesis under Prof. ________'s direction, please make it a point to comment candidly upon that experience, emphasizing especially the quality of Prof. ________'s advice and the value of the thesis as a learning experience.

1. What did you perceive to be the major strengths and weaknesses of Prof. ________'s teaching? Did you find him/her to be sufficiently knowledgeable in the subject area? Was he/she generally prepared? Were his/her lectures and discussions adequately organized?

2. Was your academic performance adequately evaluated by Prof. ________? Did you find that his/her course(s) presented a sufficient academic challenge? Was the course taught in such a way that your ability to think critically and analytically was developed? Was your ability to think creatively equally developed? How much independent thinking was encouraged?
3. Would you take another course from Prof. ______, assuming that your schedule would permit you to do so?

4. Has what you learned in your course(s) with Prof. ______ been useful to you? If so, in what sense? Can you imagine what difference it might make to you in your future endeavors that you took a course or courses with Prof. ______?

5. How would you characterize the rapport that Prof. ______ had with his/her students? Was he/she available to provide help outside of class if and when you needed it?

When answering these questions it is important that you include, wherever possible, specific reasons for your responses. These responses should be frank but devoid of cruelty and gossip.

The committee would like to thank you in advance for the time you will spend in this vitally important process. In order for this review procedure to be effective, the College must depend upon your willingness to participate and to exercise mature judgment.

Sincerely,
APPENDIX IV
SUGGESTED LETTER TO REFEREES

Dear ____________:

Thank you for agreeing to review and evaluate the scholarly research and publications of Professor ____________, who is under consideration for tenure at Union College. We are enclosing the following:
(list materials sent)

We appreciate your willingness to assist our Ad Hoc Tenure Committee in arriving at an overall evaluation of Professor ________'s scholarly activities. Your comments will be most helpful to us if they bear on at least the following points:

1. The degree of professional competence demonstrated;

2. The quality of intellect which is reflected in the work reviewed;

3. An estimation of the candidate's potential for future scholarly achievement based on your overall assessment of what has been accomplished up to the present.

Comments on any other aspects of Professor ____________'s scholarship which you consider relevant to our assessment of it, such as the extent to which it contributes to existing knowledge in its subject area, are most welcome. Please note that our interest is primarily in the quality of the work under review, rather than on quantitative considerations. We would greatly appreciate it if you would restrict your remarks to evaluating the quality of the scholarship and not offer an opinion as to the tenurability of the candidate at Union College, since this tenure evaluation also involves teaching, college service and relevant college-wide standards. Will you also indicate if you have any personal or professional acquaintance with the candidate under review? Your comments will be kept in strictest confidence to the fullest extent allowed by law.

We hope that you will be able to return your evaluation by early November. The honorarium we provide is $150. Will you please send us your vitae and social security number? Once again, we thank you.

Sincerely,

Enclosures
APPENDIX V
EVALUATION CRITERIA FOR LIBRARIANS
(effective May 14, 1993)

I. INTRODUCTION

Professional achievement for librarians is measured in three interrelated areas: contributions to Schaffer Library and its role in the academic process (this is the area of a librarian's primary job responsibilities); professional development; and scholarship service.

Excellence in the performance of a librarian's primary job responsibilities is the most crucial factor to be considered in reappointment, promotion and merit decisions. The librarian's effectiveness in serving the library's missions and goals is given the greatest weight.

II. CRITERIA

A. CONTRIBUTIONS TO SCHAFFER LIBRARY AND ITS ROLE IN THE ACADEMIC PROCESS

A librarian's contributions to the missions and goals of the library generally fall into two categories:

1. Contributions within the librarian's major responsibility area
2. Contributions to the library as a whole.

All librarians are expected to make contributions in both areas. However, the nature and balance of activities in categories 1 and 2 will vary from librarian to librarian and from year to year, depending on the librarian's primary role within the organization, on the librarian's length of service, and on overall library and campus needs. Job descriptions and annual work plans are particularly important in establishing not only the librarian's specific responsibilities but the appropriate balance of activities in categories 1 and 2.

All positions in the library, whether they have a technical or public focus or both, include a strong service component. Therefore, reference to activities in categories 1 and 2 above should also be made in evaluations of a librarian's service to the college and community (see section C).

Because each librarian has a different set of responsibilities, each is expected to master a different set of professional skills. A skill which is essential or given special emphasis for one librarian may be less important for another librarian. However, all librarians are expected to achieve excellence in those skills required to perform their
primary job responsibilities.

The following non-prioritized list includes representative (but not necessarily exhaustive) examples of the skills that may be needed to achieve excellence in professional performance:
-- Mastery of technical details and processes.
-- Communication skills.
-- Management skills.
-- Planning skills.
-- Supervisory skills.
-- Flexibility and openness to new methods.
-- Ability to adjust to a rapidly changing environment.
-- Ability to take the initiative in solving library problems.
-- Ability to participate constructively in department projects and/or on library committees and task forces.

B. PROFESSIONAL DEVELOPMENT AND SCHOLARSHIP

Professional development and scholarship are an essential part of a librarian's professional life. They contribute to the librarian's professional vitality and effectiveness on the job; in turn, the librarian contributes to the growth of the profession as a whole.

Many different forms of professional development and scholarship are appropriate for librarians. They will vary according to a librarian's professional specialties, academic background, and intellectual interests. However, the librarian should demonstrate a continuing pattern of development and individual activities should provide evidence of one or more of the following: original and/or analytical thinking beyond normal job requirements; the mastery of a new skill or a new approach to an issue; intellectual rigor; professional commitment; or a substantive contribution to the profession.

Because much work in the library profession is done cooperatively, cooperative projects to which a librarian has made a substantive contribution are also valued. Similarly, internal documents which incorporate new thinking or research beyond normal job requirements may be considered evidence of professional development and/or scholarship.

Given the library's year-round schedule and the limited amount of time that may be available for such activities, evaluations of professional development and scholarship should emphasize quality above quantity.

The following non-prioritized list includes representative (but not necessarily exhaustive) examples of appropriate forms of professional development and scholarship:
-- Participating visibly and effectively in local, state or national professional and academic associations.
-- Participating in fellowships, internships or exchange programs.
-- Writing published newsletter articles or columns.
-- Writing published reviews of library materials.
-- Editing a newsletter or journal.
-- Formal consulting.
-- Lecturing.
-- Presenting papers at professional meetings.
-- Organizing professional conferences, seminars or conference sessions.
-- Participating in panels at professional training programs or meetings.
-- Obtaining grants and writing grant proposals.
-- Participating in continuing education programs (which may include: obtaining an advanced degree or certificate of librarianship; completing course work or a degree in an academic discipline other than librarianship; completing other course work which is relevant to the performance of one's job).
-- Writing or editing published monographs, chapters of books, or journal articles.
-- Preparing scholarly exhibits.
-- Performing research which leads to the development of techniques or systems that result in the significant improvement of library services or procedures.
-- Performing research or undertaking a program of reading which leads to further knowledge in library scholarship.
-- Preparing published bibliographies.
-- Reviewing grant proposals.

C. SERVICE

Because the library's fundamental mission is to serve the academic process, all positions in the library include a strong service component. This is true whether the position has a technical or public focus or both.

Therefore, service is an important evaluation category for librarians. However, the primary emphasis should be on services rendered as part of a librarian's overall job responsibilities (see Section A, categories 1 and 2). Specifically, a candidate should highlight areas of achievement in categories 1) and 2) that involve the provision of services to students, faculty, and the wider community; these will then be considered in context of their contribution to the service mission of the library as a whole.

Additionally, activities outside of a librarian's normal job responsibilities may also be considered evidence of service to the college and the community. These activities include, but are not limited to, participation in college governance, service on campus-wide committees, participation in college or community programs, and contributions to college or community planning.
PROCEDURES FOR PERFORMANCE REVIEWS FOR LIBRARIANS
(effective May 14, 1993)

I. ASSUMPTIONS

Regular, informal feedback and communication among librarians at all levels are an essential part of the evaluation system and are expected of all concerned.

The immediate supervisor is normally a Section Head. For Section Heads, the immediate supervisor is the Library Director. If the immediate supervisor is someone other than a Section Head or the Library Director, the appropriate Section Head also participates in evaluations and is assumed to be included wherever "immediate supervisor" appears below.

II. WORK PLAN

A written work plan, revised annually for all librarians, is the foundation of the evaluation system. This plan assumes that the basic responsibilities outlined in the librarian's job description will remain the same, but it sets priorities among them and identifies specific projects or areas of concentration for the coming year. It also takes into consideration the general evaluation criteria, campus and library mission statements, long-range planning, and how the librarian's responsibilities mesh with those of others in the department.

The initial work plan will be established at time of hire in a meeting of the new librarian, the immediate supervisor and the Library Director. Annual revisions will be developed in meetings among the same group of librarians in the anniversary month of hire. The Library Director will provide a written summary of the work plan as discussed. This plan will then become part of the librarian's permanent file. It will also provide a basis for informal feedback about a librarian's performance throughout the year.

The work plan may be revised mid-year by mutual agreement of the parties named above. Again, the Library Director will provide a written summary of any revisions. Revisions will also become part of the librarian's permanent file.

III. REVIEW PROCEDURES

A. FIRST THREE-YEAR CONTRACT

New librarians normally will be hired with the rank of Assistant Librarian I.

1. Year One

Year one is a probation year managed by the immediate supervisor, based on the
work plan developed at time of hire.

An evaluation, based upon this work plan, will be conducted by the immediate supervisor and the Library Director no later than two months before the anniversary of the candidate's starting date.

If the evaluation results in a positive recommendation for continuation by the Library Director, the candidate will complete the next two years of the initial contract.

If the evaluation results in a negative recommendation for continuation by the Library Director, the candidate's contract will be terminated upon completion of the probationary year.

2. Year Two

An annual work plan will be developed in the anniversary month of hire as described in Section II above.

3. Year Three

The third-year review normally will be conducted no later than two months before the anniversary of the candidate's starting date. It should be conducted and completed, whenever possible, within a four week time period.

The Library Director, with input from the candidate, the immediate supervisor, and the Dean of the Faculty, will appoint a committee of librarians to prepare an evaluation report. This committee will consist of 1) the immediate supervisor and 2) two other librarians. At least two of the three librarians must have passed a sixth-year review or be tenured and one must be from outside the candidate's department. The Library Director will also appoint a committee chair.

The Candidate will submit to the committee a written statement, 3 to 5 pages in length, describing progress towards meeting the evaluation criteria in conjunction with the annual work plans. The candidate may also submit up to three examples of work in each evaluation category which the candidate considers particularly illustrative of activities in those areas.

The Committee will review the candidate's statement and materials, the work plans, and any previous evaluations on file. It will conduct interviews of all professional library staff. It may also advertise for input in college publications and interview other college faculty, administrators, and students. Other library staff will also be encouraged to speak to the committee. Upon completion of the interviews and the initial review of materials, the committee will also meet with
the candidate.

The committee will then draft a report, normally 3 to 5 pages in length, and submit it with all evaluation materials to the Library Director. A copy of the report will also be sent to the candidate.

The Candidate may submit to the Library Director a written response to the report within one week of receiving it. The candidate may also, upon request, meet with the Library Director within one week to discuss the report.

The Library Director may, after receiving the report, meet with either the candidate or the evaluation committee or both.

Between 10 and 15 days after receiving the committee report, the Library Director will send a written recommendation for reappointment to the Dean of the Faculty along with the committee report, the candidate's evaluation materials, and any written responses from the candidate.

The Dean of the Faculty will make a final determination regarding reappointment.

If the evaluation results in a positive determination for reappointment, the candidate will be offered a second three-year contract and be promoted to the rank of Assistant Librarian II, if the initial appointment was at the rank of Assistant Librarian I. The candidate will also become eligible to apply for a research/development leave of up to three months. The length of this leave would be applied against the candidate's first regular research/development or sabbatical leave subsequent to Year Six, should that evaluation also result in a positive determination for reappointment.

If the evaluation results in a negative determination for reappointment, the candidate will be offered a one-year terminal contract.

B. SECOND THREE YEAR CONTRACT

1. Year Four
   Same as Year Two.

2. Year Five
   Same as Year Two.

3. Year Six; Sixth Year Review for Promotion to Associate Librarian

   By the sixth year, the candidate must go through a review for promotion to Associate Librarian or accept a seventh-year terminal contract.
The six-year review will normally commence no later than three months before the anniversary of the candidate’s starting date. It should be conducted and completed, whenever possible, within an eight-week time period.

The Dean of the Faculty, with input from the Library Director and the candidate, will appoint a committee to prepare an evaluation report. This committee will consist of 1) the immediate supervisor; 2) two other librarians, at least of whom one must be from outside the candidate's department; 3) a faculty member or administrator from outside the library. At least two of the three librarians must have passed a sixth year review or be tenured. The Dean of the Faculty will also appoint a committee chair.

The Candidate will submit to the committee a written statement, 3 to 5 pages in length, describing progress towards meeting the evaluation criteria in conjunction with the annual work plans, with an additional special emphasis on professional development and scholarly activities. The candidate may also submit up to three examples of work in each evaluation category as in Year Three.

The Committee may invite, with input from the candidate and the Library Director, a librarian from another institution who is qualified in the candidate's area of specialty to come to campus to conduct a one-day on-site review of the candidate's work. The committee may also invite (again with input from the candidate and the Library Director) outside reviewers to comment on the candidate's professional activities and scholarship.

The Outside Reviewers will submit to the committee a written review of the candidate's work. These reviews shall normally be 1 to 3 pages in length as appropriate.

The Committee will review the candidate’s statement and materials, the outside reviewers’ reports, the work plans and any previous evaluations on file. It will conduct interviews of all professional library staff. It will advertise for input in college publications and interview other college faculty, administrators, and students as appropriate. Other library staff will also be encouraged to speak to the committee. Upon completing the interviews and the initial review of materials, the committee will also meet with the candidate.

The committee will then draft a report, usually 3 to 5 pages in length, and submit it with all evaluation materials to the Library Director. A copy of the committee report will also be sent to the candidate. The candidate will also have the option of reading the outside reviewer's reports.

The Candidate may submit to the Library Director a written response to the reports within one week of receiving them. The candidate may also, upon
request, meet with the Library Director within one week to discuss them.

The Library Director may, after receiving the report, meet with either the candidate or the committee or both.

Between 10 and 15 days after receiving the committee report, the Library Director will send a written recommendation for reappointment to the Dean of the Faculty along with the committee report, the candidate's evaluation materials, and any written responses from the candidate.

The Dean of the Faculty will make a final determination regarding reappointment.

If the evaluation results in a positive determination for reappointment, the candidate will be offered a renewable three-year contract and be promoted to the rank of Associate Librarian. The candidate will also become eligible to apply for lengthier research/development or sabbatical leaves. The length of any such leave taken before Year Six will be applied against the first leave taken after Year Six.

If the evaluation results in a negative determination for reappointment, the candidate will be offered a one-year terminal contract.

C. YEAR SEVEN AND THEREAFTER

Annual work plans will be developed as described in section II above.

In the fall of the third year of each subsequent three-year contract, a review which takes into consideration the general evaluation criteria used in Years Three and Six will be conducted by the immediate supervisor and the Library Director. These reviews will be used to inform development of future work plans as well as to inform the Library Director's recommendations for merit, continuation and promotion to the rank of Librarian.

IV. MERIT

Each librarian who has completed at least one year of service will be reviewed for merit by the Library Director on an annual basis, using the general evaluation criteria and work plans as a foundation.
APPENDIX VI
CERTIFICATION OF DOMESTIC PARTNERSHIP

Employee: 

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>M.I.</th>
</tr>
</thead>
</table>

Social Security Number: 

Domestic Partner: 

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>M.I.</th>
</tr>
</thead>
</table>

Social Security Number: 

For your Partner, complete section A and section B (if it applies) below.

A. Partner Certification

I hereby certify that the above named person and I meet all of the eligibility requirements as "Domestic Partners" under the Union College policy, including acknowledgment of financial responsibility for each other. I understand that (1) falsely certifying eligibility or failing to inform Union College if we cease to meet eligibility requirements in any respect will result in loss of insurance and benefit coverage for the Domestic Partner retroactive to the change of status and that I, the Union College employee, will be liable for premiums remitted by the College to the various insurance and benefit companies via payroll deduction, (2) that Union College may ask me to provide evidence that the eligibility requirements are being met, (3) that, unless my Partner is a tax-qualified dependent, Union College’s cost of providing these benefits to my Partner is considered taxable income to me, and (4) that it is possible that this Certification could be used as evidence by creditors of my Domestic Partner.

Signature of Employee: ____________________________ Date: ____________________

Signature of Domestic Partner: ____________________________ Date: ____________________

B. Partner Certification as a Tax-Qualified Dependent

I certify that the previously named person whom I am enrolling for coverage is my legal tax dependent under IRS Sec. 152. I understand that falsely certifying dependency could result in potential charges of tax fraud. I further agree to notify Union College immediately of any change in this tax status.

Signature of Employee: ____________________________ Date: ____________________